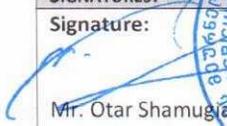
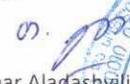
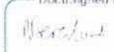




**United Nations Development Programme
Project Document**

Project title: Development of the Fifth National Communication and the First Biennial Transparency Report of Georgia to the UNFCCC		
Country: Georgia	Executing entity (GEF Executing Entity): Environmental Information and Education Centre of the Ministry of Environmental Protection and Agriculture of Georgia	Execution Modality: National Implementation Modality (Full NIM)
Contributing Outcome (UNDAF/CPD, RPD, GPD): UNSDCF 2021-2025: Outcome 5/CPD 2021-2025 Outcome 2: By 2025, all people, without discrimination, enjoy enhanced resilience through improved environmental governance, climate action and sustainable management and use of natural resource(s) in Georgia CPD 2021-2025 Output 2.1. enhanced environmental governance and institutional capacity to enable rational, equitable and sustainable use of natural/land resources, to ensure conservation of ecosystems, use of innovative and climate-friendly technologies for inclusive green economy, energy efficiency and clean energy production, and make communities more resilient to environmental shocks		
UNDP Social and Environmental Screening Category: <i>Low</i>	UNDP Gender Marker: <i>GEN2</i>	
Atlas Award ID: 00134925	Atlas Project/Output ID: 00126379	
UNDP-GEF PIMS ID number: 6597	GEF Project ID number: 10743	
LPAC meeting date: 30 May 2022		
Last possible date to submit to GEF: N.A.		
Latest possible CEO endorsement date: N.A.		
Project duration in months: 36 months		
Planned start date: 01/07/2022	Planned end date: 30/06/2025	
<p>The overall goal of the project is to support the Government of Georgia to mainstream and integrate climate change considerations into development strategies and sector-based policy frameworks, through ensuring continuity of the institutional and technical capacity building, partly initiated and consequently sustained by reporting instruments under the UNFCCC and ensuring a regular mechanism of national monitoring, reporting and verification of climate change actions, and move towards a low-carbon and climate resilience development pathway.</p> <p>The immediate objective of the project is to assist the Government of Georgia in preparation of its Fifth National Communication (5NC) and First Biennial Transparency Report (1BTR) as a combined report to the UNFCCC in accordance with its commitments as a non-Annex 1 Party (as mandated by Article 4 and 12 of this Convention) and in line with Decision 17/CP.8, 5/CMA.3 and 18/CMA.1. In addition, the project will strengthen existing institutional arrangements for climate transparency and support the achievement of long-term targets aimed at addressing the impacts of climate change.</p>		
FINANCING PLAN		
GEF Trust Fund grant	517,000 USD	
(1) Total Budget administered by UNDP	USD	
(2) Total confirmed co-financing to this project not administered by UNDP	77,000 USD	
(3) Grand-Total Project Financing (1)+(2)	594,000 USD	

SIGNATURES:		
<p>Signature:</p>  <p>Mr. Otar Shamugia Minister of Environmental Protection and Agriculture of Georgia</p>	<p>Agreed by Government Development Coordination Authority¹</p> <p>Ministry of Environmental Protection and Agriculture of Georgia</p>	<p>Date/Month/Year: within 6 months of GEF CEO endorsement</p> <p>15/09/2022</p>
<p>Signature:</p>  <p>Ms. Tamar Aladashvili Director of Environmental Information and Education Centre</p>	<p>Agreed by Executing entity²</p> <p>Environmental Information and Education Centre</p>	<p>Date/Month/Year: within 6 months of GEF CEO endorsement</p> <p>02/09/2022</p>
<p>Signature:</p> <p>Mr. Nick Beresford UNDP Resident Representative in Georgia</p>	<p>Agreed by UNDP</p> <p>DocuSigned by:  <small>87892543471497</small></p> 	<p>Date/Month/Year: within 6 months of GEF CEO endorsement</p>

¹-Other evidence of government agreement may be accepted in lieu of a signature, unless the programme country government requires a signature.

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List of acronyms and abbreviations

AFOLU*	Agriculture, Forestry and Land Use
BAU	Business as Usual
BMUB	German Ministry for the Environment, Nature Conservation, Building and Nuclear Safety
BTR	Biennial Transparency Report
BPPS/NCE	Bureau for Program and Policy Support at UNDP/Nature, Climate and Energy
BUR	Biennial Update Report
CCC	Climate Change Council
CEDAW	Convention on the Elimination of all Forms of Discrimination against Women
CH ₄	Methane
CoM	Covenant of Mayors
COP	Conference of Parties
CO ₂ eq	Carbon dioxide equivalent
CSAP	Climate Strategy and Action Plan
CSO	Civil Society Organization
EBRD	European Bank for Reconstruction and Development
ETF	Enhanced Transparency Framework
EU	European Union
GCF	Green Climate Fund
GDP	Gross domestic product
GEF	Global Environment Facility
Gg	Gigagram
GHG	Greenhouse gases
GIZ	German Agency for International Cooperation
GoG	Government of Georgia
GSP	Global Support Programme
GWP	Global warming potential
1BTR	First Biennial Transparency Report
IPCC	Intergovernmental Panel on Climate Change
IPPU	Industrial Processes and Product Use
QA/QC	Quality Assurance and Quality Control
UNFCCC	United Nations Framework Convention on Climate Change
LEDS	Low Emission Development Strategy
LT LEDS	Long-term low emission development strategy
MHEWS	Multi-Hazard Early Warning System
MRV	Measurement, Reporting and Verification
MEPA	Ministry of Environmental Protection and Agriculture of Georgia
MOESD	Ministry of Economy and Sustainable Development of Georgia
MOF	Ministry of Finance of Georgia
MRDI	Ministry of Regional Development and Infrastructure of Georgia
M&E	Monitoring and Evaluation
NC	National Communication
NDC	Nationally Determined Contribution
NECP	National Energy and Climate Plan
NIR	National Inventory Report
NAP	National Adaptation Plan
NEA	National Environment Agency
NFA	National Forestry Agency
NGO	Nongovernmental organization
NSO	National Statistics Office of Georgia
PB	Project Board
RFP	Request for Proposal
SWMC	Solid Waste Management Company
TTE	Team of Technical Experts
5NC	Fifth National Communication
UNDC	Updated NDC

UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
USAID	United States Agency for International Development
V&A	Vulnerability and Adaptation
WEM	With Existing Measures
WAM	With Additional Measures

II. DEVELOPMENT CHALLENGE

Georgia ratified the United Nations Framework Convention on Climate Change (UNFCCC) in 1994 and accessed to the Kyoto Protocol in 1999, being a non-Annex I Party to the UNFCCC. The Ministry of Environmental Protection and Agriculture of Georgia (MEPA) is national authority responsible for the environmental and climate change policy and the National Focal Point to the UNFCCC.

Georgia approved Paris Agreement on 8 May 2017. Earlier, in September 2015, country submitted its Intended Nationally Determined Contribution (INDC). Based on Decision 1/CP.21 of the UNFCCC Conference of Parties (COP). Georgia converted INDC into its first NDC. In 5th May of 2021 Georgia submitted Updated NDC (UNDC). Commitment under UNDC is more ambitious than commitment under first NDC. According to the UNDC, Georgia is fully committed to an unconditional limiting target of 35% below 1990 level of its domestic total GHG emissions by 2030; and Georgia is committed to a target of 50-57% of its total GHG emissions by 2030 compared to 1990, in case the global GHGs follow the 2 degrees or 1.5 degrees scenarios respectively, with the international support. In 1990 GHG emissions from Georgia constituted 45,606 Gg CO₂eq.

Climate change as a root cause and its adverse impacts on ecosystems and economy as underlying causes pose severe threats to Georgia's sustainable development, economic growth and social well-being. Unique geographical location, complex dissected relief, land cover diversity and specific climate, containing almost every type of climatic zones set conditions for wide variety of negative consequences of climate change in Georgia. The variety of the extreme weather events appearing in Georgia, including flash floods, mudflows, storms, heat waves and droughts are immediate causes of damages in different economic activities.

Subsequently, one of the main objectives of Georgia is to improve the country's preparedness and adaptive capacity by developing climate resilient practices that reduce vulnerability of highly exposed communities. The observation of the impacts induced by climate change reveals the following vulnerable groups requiring urgent adaptation measures: children and youth, women, older persons, persons with disabilities, persons with chronic diseases, internally displaced persons and people displaced as a result of disasters caused by climate change or threatened by climate change as described in UNDC. Georgia considers the gender equality, a fundamental principle of the United Nations Charter, as a precondition for advancing development and reducing poverty. Georgia recognizes the importance of incorporating gender issues within the climate change mitigation and adaptation efforts, according to the recommendations on this subject in the Paris Agreement (articles 7 and 11).

With regards to the development of and coordination on policies and strategies, by decree No 54 of the Government of Georgia (GoG), dated 23 January 2020, Climate Change Council (CCC) was established, with its associated working groups. The CCC is the national ultimate authority of decision-making on the climate change issues. Council is chaired by Minister of Environmental Protection and Agriculture. Council members are Ministers of key ministries. The objective of council is to ensure effective implementation of UNFCCC, Kyoto Protocol and Paris Agreement in Georgia.

The Association Agreement between European Union (EU) and Georgia - key document shaping the Climate Change commitments at the national level-stresses the need for addressing the abovementioned causal chain of climate change induced consequences through the cooperation in the following areas: mitigation of climate change, adaptation to climate change, carbon trade, integration into industrial policy on climate change issues and the development of clean technologies.

Energy, a strategic sector for the country plays a key role in meeting the national development goals, ensuring security, reliability, as well as affordability of energy services for population. Energy sector dominates in greenhouse gas (GHG) emissions and has significant mitigation potential contributing to lowering the GHG concentration in the atmosphere, the global root cause of the climate change. One of the important steps that Georgia has taken in the process of energy sector development is Georgia's accession to the European Energy Community (EEC) Treaty (on 21 April 2017). Under EEC "Energy and Climate Committee" was established in December 2017. In the EEC context, the Energy and Climate Committee acts as the primary platform for the work towards National Energy and Climate Plans.

Within the EEC framework, the important measures that have to be taken in the field of climate change considers the establishment of legislative and institutional framework for the promotion and development of energy efficiency and renewable energy sources and elaboration of action plans. In 2023, Georgia's National Energy and Climate Plan (NECP) will be ready for adoption, as recommended through membership of the EEC Treaty. In line with the recommendations set by the Ministerial Council of the EnC, Georgia's NECP should cover the period from 2021 to 2030 and including a perspective until 2050.

The transition to low carbon emission development is fully in line with national energy security priority. The promotion, development and investment in energy efficient and renewable energy technologies are critical for diversifying the country's energy supply and achieving energy independence.

At the legislative level, Law of Georgia on Promoting the Generation and Consumption of Energy from Renewable Sources was adopted by the end 2019. The purpose of this Law is to (a) create legal grounds for the encouragement, promotion and consumption of energy received from renewable sources; (b) determine the mandatory national common target indicators of the total share of energy received from renewable sources in the total final consumption of energy and in the consumption of energy by transport. The Law of

Georgia on Energy Efficiency was adopted on 21 May 2020. The purpose of this Law is to (a) increase energy savings, energy supply security and energy independence, as well as to maximally eliminate barriers to improving energy efficiency in the energy market; (b) determine the general legal basis for the measures required to promote and implement energy efficiency in the country in order to ensure the achievement of the goals set out in the Protocol on the Accession of Georgia to the Treaty Establishing the Energy Community.

Since 2017, several relevant regulations and strategies that incorporate climate change considerations have been adopted: 2030 Climate Strategy and 2021-2023 Action Plan (CSAP) sets out the short-term agenda for the implementation of Georgia's 2030 GHG emissions reduction target for climate change mitigation, as set in Georgia's UNDC. 2019-2020 National Energy Efficiency Action Plan (NEEAP)", adopted by the GoG in 2019, set out targets for improved energy efficiency in 2020, 2025 and 2030. The 2020 National Renewable Energy Action Plan (NREAP), adopted by the Ministry of Economy and Sustainable Development of Georgia (MOESD) in 2019, sets a target for renewable energy sources to supply 35% of total energy demand by 2030.

Under the Paris Agreement "*all Parties should strive to formulate and communicate long-term low greenhouse gas development strategies (LT LEDS)*". These strategies set out a country's vision for emission reduction towards 2050. The development of LT LEDS is also a requirement under new rules laid out in the Regulation on Governance of the Energy Union, which may become binding for Georgia as a Contracting Party of the EEC. Georgia, in frames of EU funded programme EU4Climate elaborated LT LEDS in 2021, which is aligned with the targets and objectives of the updated NDC. According to the LT LEDS Georgia intends to become Climate Neutral by 2050. LT LEDS will support the transition of Georgia towards low carbon development and climate resilience. Georgia's LT LEDS includes country's integrated development goals and objectives, national GHG inventory, and economic and resource data; Long-term projections of business-as-usual economic growth and GHG emission pathways; Alternative development scenarios that achieve economic and development goals while slowing the growth rate of GHG emissions and supporting climate change resilience; Prioritized policies, programs and measures - identified through broad stakeholder engagement - that support the low emission development scenarios.

At the local level, 24 municipalities and 3 administrations of State Representatives of Georgia have already signed the new EU initiative "Covenant of Mayors (CoM) for Energy and Climate". This process has national relevance, as these signatories already represent more than 30% of the total population of Georgia, and an even larger share of GDP. The CoM initiative aims to engage and support cities and towns in order to strengthen climate actions towards developing adaptive capacity and enhancing mitigation measures vis-a-vis promoting secure, sustainable and affordable energy. Signatory cities pledge action to support implementation of NDC GHG reduction target by 2030. The intensification of the coordination between the national and sub-national government authorities has a dual effect for better coordination. On one hand, the local governments have been exchanging knowledge on translating national climate goals to their action plans and on the other hand, the mitigation targets and needs raised by the municipalities and cities have been included in national climate-related strategies. For instance, the Sustainable Energy Action Plans (SEAPs) prepared under the CoM have been translated into the development of GHG emission scenarios, such as business as usual and its mitigation alternatives.

Regarding the national reporting requirements to the UNFCCC, Georgia presented the Fourth National Communication (FNC) in April 2021. FNC provides information on Georgia's national circumstances, mitigation measures and the national GHG inventory for the years 2016-2017 and recalculated GHG inventory for 1990-2015 years (based on the 2006 IPCC Guidelines) as well as a complete analysis of the country's vulnerability to climate change and the progress the country has made regarding adaptation to climate change. In frames of the FNC, the National GHG Inventory report (NIR) has been prepared. According to the NIR, total GHG emissions of Georgia in 2017 constituted 17,722 Gg CO₂eq (excluding Land Use, Land Use Change and Forestry / LULUCF), which comprised of 10,726 Gg CO₂eq from Energy; 3,488 Gg CO₂eq from Agriculture; 1,990 Gg CO₂eq from IPPU and 1,518 Gg CO₂eq from Waste Sector. High priority sector for GHG mitigation is energy sector. CO₂ sequestration by the LULUCF sector amounted to 4,924 Gg CO₂eq. Total GHG emissions, including LULUCF, are estimated to be 12,798 Gg CO₂eq.

In its sixteenth session CoP (COP16) decided that developing countries, in line with their capacities and the level of support provided for reporting, should submit biennial update report (BUR) containing information on the national inventories of greenhouse gases (GHG) including NIR, information on mitigation actions and needs and support received. Subsequently, COP17 adopted guidelines for the preparation of BURs for Parties not included in Annex I of the UNFCCC.

In compliance with the information requirements contained in COP17 decision, Georgia has so far submitted two BURs to the UNFCCC. The first BUR was presented in July 2016 and provided information on the National GHG Inventory for the years 2012 and 2013. The second BUR was presented in June 2019 with updated information presented in the first BUR and included the national GHG inventory for the years 2014 and 2015, as well as an update of the 1990 to 2013 series of the inventory presented in the First BUR. The Georgia's second BUR has initiated an improvement process to better address the *completeness*, accuracy and transparency of the reported information, based on the recommendations from the Team of Experts (TTE) during the First BUR³ international consultation and analysis (ICA) process to overcome the obstacles reported by previous evaluation processes.

³ <https://cop23.unfccc.int/sites/default/files/resource/docs/2017/tasr/geo.pdf>

The Fifth National Communication (5NC) and First Biennial Transparency Report (1BTR) will be built on findings and recommendations from previous NCs and BURs work as well as on the recommendations resulting from the latest international consultation and analysis (ICA) process for the second biennial update report (2BUR).

The technical analysis report of the 2BUR prepared as part of the ICA process specifies that there are no additional capacity building needs beyond those reported in Georgia's 2BUR for addressing the immediate causes of climate change consequences and that needs in the following areas remain relevant: (a) Enhancing the capacity of national experts and systems involved in GHG inventory preparation; (b) Data collection and the GHG statistical accounting system; (c) Training staff in selecting the best available technologies (industry sector); (d) Training of farmers to raise their awareness of nitrogen fertilizer norms and other ecologically pure alternatives for soils (agriculture sector); (e) Training of farmers to raise their awareness of biogas technology, as well as implementing pilot projects; (f) Training staff in selecting the most relevant technological solutions for CH₄ extraction and usage from solid waste landfills (waste sector); (g) Promoting land-use research using remote sensing databases [Land Use, Land Use Change and Forestry (LULUCF) sector]; (h) Strengthening the capacity of the relevant responsible body in managing waste (waste sector); (i) Providing technical assistance to and strengthening the capacity of the National Statistics Office of Georgia (NSO) to implement international practices related to collecting, processing and using necessary data.

III. STRATEGY

The overall goal of the project is to support the Government of Georgia to mainstream and integrate climate change considerations into development strategies and sector-based policy frameworks, through ensuring continuity of the institutional and technical capacity building, partly initiated and consequently sustained by reporting instruments under the UNFCCC and ensuring a regular mechanism of national monitoring, reporting and verification of climate change actions, and move towards a low-carbon and climate resilience development pathway.

The immediate objective of the project is to assist the Government of Georgia in preparation of its 5NC and 1BTR to the UNFCCC as a combined report in accordance with its commitments as a non-Annex 1 Party (as mandated by Article 4 and 12 of this Convention) and in line with Decisions of 17/CP.8, 5/CMA.3 and 18/CMA.1.

In the long term, the project will allow the country to strengthen the existing institutional arrangements for climate transparency and support the long-term targets aimed at addressing the impacts of climate change.

The objective of the project is in line with the GEF-7 Climate Change Focal Area Objective which aims to “Foster Enabling Conditions to Mainstream Mitigation Concerns into Sustainable Development Strategies”.

The project is also aligned with United Nations Partnership for Sustainable Development (UNPSD) Georgia 2021-2025: Outcome 5/CPD 2021-2025: By 2025, all people, without discrimination, enjoy enhanced resilience through improved environmental governance, climate action and sustainable management and use of natural resource(s) in Georgia.

To overcome the challenges that the country faces in preparing GHG emission estimates mainly related to data collection and accuracy and to improve the quality of GHG inventories, the activities under this project will focus on methods and approaches for the data collection process, filling data gaps and also on approaches and activities to improve data consistency.

The problem faced on reporting of mitigation actions in the previous NCs and BURs was lack of formal arrangements and assigned responsibilities ensuring data provision on completed, on-going and planned mitigation actions. Different ministries, local governments, and the private sector are involved in the implementation of mitigation actions, without overall coordination, which causes the risk that not all of them are captured. Therefore, in the frames of the 5NC/1BTR, discussions and consultations with the key stakeholders will be held to identify requirements and relevant formal arrangements for Monitoring, Reporting and Verification (MRV) system in relation to the mitigation actions, build upon lessons from the 4NC and BUR2 preparation process.

The scope of the mitigation assessments for 5NC/1BTR will include an analysis of relevant legislation, policies and programs to enable and facilitate the implementation of mitigation actions in all sectors. Mitigation related reporting under 5NC / 1BTR will follow the recommendations provided during the Georgia BUR2 technical analysis. The progress of policies and actions to reduce GHG emissions implemented from 2018 to 2022 and planned in all sectors will be reported in a transparent way, allowing to assess the effects of mitigation actions and their contributions towards achieving NDC targets.

The project goals and objectives will be achieved through the following strategic directions:

- a) Facilitate the development of procedures and institutional arrangements to collect, compile and validate activity data for preparing national GHG inventories.
- b) Update and improve GHG inventories by filling out the activity data (AD) gaps and reducing the uncertainties encountered in the previous inventories.
- c) Improve Energy sector AD accuracy through close collaboration with the Energy balance compilers.
- d) Improve GHG emission estimates for waste sector.
- e) Improve GHG Inventory Key category analysis through conducting Trend assessment.
- f) Enhance the mitigation analysis and the identification of the quantitative goals of mitigation actions in the non-energy sectors (Waste and LULUCF).
- g) Update existing and identify new programmes that include mitigation measures to abate GHG emissions.
- h) Analyse the mitigation policies and measures including those with mitigation co-benefits resulting from adaptation actions and economic diversification actions.
- i) Track the NDC progress in its implementation and achievements in line with the requirements stipulated in Decisions 18/CMA.1 and 5/CMA.3.
- j) Strengthen the monitoring framework for assessing climate change impacts in the vulnerable sectors of Georgia with in-depth regional focus using new socio-economic, climate and other relevant models.
- k) Collect and analyse gender disaggregated data in relation to the climate change.

- l) Update the constraints, gaps and related financial, technology development and transfer and capacity-building support needs, and compile data on support received in these areas, as well as publish findings and promote National Communication and Biennial Transparency Report.

This project presents an opportunity to strengthen Georgia's capacities to meet its reporting obligations towards UNFCCC under the Enhanced Transparency Framework. In the absence of this project, the country is not likely to meet these obligations in time, i.e. it would be most likely missing critical and important milestones necessary for the country to meet national sustainable development goals.

Formalizing national processes to capitalize of existing expertise, experience gained through other related initiatives, will help maintain the momentum needed to enable the development of data flows, analysis and provision of useful data for decision-making and reporting associated with Georgia's NDC.

The Enhanced Transparency Framework (ETF) under the Paris Agreement builds on the current, measurement, reporting and verification (MRV) system. Reporting under the existing MRV framework including NCs, BURs and ICA form part of the experience drawn upon and contributed to continuous building of capacity and expertise in advance of the ETF. Currently, Georgia implements the "Integrated Transparency Framework for Implementation of the Paris Agreement" project supported by the Global Environment Facility through the Capacity Building Initiative for Transparency (CBIT) and the results achieved in this national CBIT project will be integrated into the 5NC/1BTR, including agriculture and waste data management developments. The preparation of 5NC/1BTR is an opportunity to continue to learn by doing, analyze gaps and needs, and to build the necessary institutions and processes for complying with the ETF.

With the 5NC/1BTR, Georgia will be updating GHG Inventory for reporting year no more than two years prior to the submission of its national inventory report (x-2) which is in line with MPGs for BTR.

IV. RESULTS AND PARTNERSHIPS

4.1/ Expected Results

Component 1: National circumstances; institutional arrangements and support needed and received

National circumstances provided in the 4NC will be reviewed and updated. In particular, information on the geography, demography, natural resources, climate and education, social and cultural aspects, as well as macroeconomic parameters, employment, income and services will be updated taking into consideration gender dimensions. Particular focus will be made on how the national circumstances described may affect the country's ability to deal with mitigation and adaptation to climate change and to implement and achieve its NDCs. For that purpose, the most recent databases and information systems and recent socio-economic assessments will be used, as well as the data from new national documents and ongoing projects.

The information on the institutional arrangements and the mechanisms for gender responsive stakeholder's involvement relevant to the preparation of the national communications and the biennial transparency reports will be updated including consideration of more active involvement of women in the decision-making process on climate mitigation policy and mitigation actions when relevant. Gender aspect shall be also captured through presenting gender and climate change relevant information based on various gender disaggregated data and activities.

In its second BUR and 4NC Georgia, in accordance with decision 2/CP.17, reported information on constraints and gaps, and related financial, technical, and capacity-building needs. Georgia's financial, technical and capacity-building needs are primarily in the areas of effective implementation of climate change mitigation measures and technology transfer and development in all sectors. According to the summary report prepared by the team of technical experts during ICA of the second BUR, "Georgia highlighted its need for continued financial support for the preparation of its NCs and BURs, as being important for assisting it in building institutional capacity and integrating climate change issues into national policies and strategies".

Constraints and gaps for mitigation and adaptation associated with the fulfilment of the national obligations under the UNFCCC, and related, financial, technology development and transfer and capacity-building support needs will be assessed with solutions proposed to address these needs.

Furthermore, 5NC/1BTR project will provide updated information on financial, technology development and transfer and capacity-building support received from the GEF, UNFCCC Annex I Parties and other developed country Parties, the Green Climate Fund and multilateral institutions for climate change mitigation and adaptation and the implementation of the NDC; and information on support received for the preparation of the 5NC/1BTR and other transparency related activities.

National development objectives and priorities relevant to addressing climate change will also be updated, including the specific needs and concerns arising from the adverse effects of climate change.

Climate change gender disaggregated data is currently not available in Georgia. The following steps will be undertaken: (a) Study of UN tools and methodologies on gender equality; (b) Review of country-based analytical and statistical reports on gender related issues; (c) Analysis of availability and reliability of gender disaggregated data on climate change; and (d) Identification of main gender gaps to be tackled.

Component 2: National greenhouse gas inventory

Georgia has developed six National GHG Inventories as part of four National Communications and two Biennial Update Reports. The latest GHG inventory as part of the Fourth National Communication was prepared for 2016-2017 with recalculations for 1990-2015. The GHG inventory within the Initial, Second, and Third National Communications were prepared by using the IPCC Revised 1996 Guidelines, the IPCC Good Practice Guidelines and the IPCC Good Practice Guidance for LULUCF. To provide the national inventories with greater transparency, coherence, comparability, exhaustiveness and accuracy, in the Second BUR and Fourth National Communication, the update was carried out for all years in the period 1990–2015 using the methodologies contained in the 2006 IPCC Guidelines, thus generating a consistent time series.

Under this component existing data collection and management system will be revised as per the requirement of the 2006 IPCC guidelines and the 2019 Refinement to the 2006 IPCC Guidelines to the extent possible. Existing and/or identified data gaps will be addressed, among them more significant are data on share of manure disposed on different Animal Waste Management Systems and data on solid waste composition.

The actions regarding the challenge the country must overcome will be focused on the definition of country specific emission factors. In this respect, the nationally adopted emission factors will be reviewed and for the key sources will be updated on annual basis, as

needed. Strengthening data information systems on activities are considered to be a priority to establish specific emission factors, especially for key categories: Ammonia production, Nitric Acid production and Enteric Fermentation in cattle.

The GHG Inventory for 2018-2022 years will be prepared, and for 1990-2017 years results recalculated for Energy; Industrial Process and Product Use (IPPU); Agriculture, Forestry and Other Land Use (AFOLU); and Waste sectors, using 2006 IPCC Guidelines for National Greenhouse Gas Inventories, and 2019 Refinement to the 2006 IPCC Guidelines for National GHG Inventories to the possible extent; also applying the latest version of the GHG Inventory Software for non-Annex I countries, the common reporting tables as per Decisions 5/CMA.3 and GWP values from the IPCC Fifth Assessment Report.

Quality assurance and quality control (QA/QC) procedures will ensure that the results of the inventory will be as reliable as possible. In consultation with key stakeholders list of QA activities will be formed/updated. Third party – Independent entity for implementation of QA procedures for the national GHG inventory will be selected. Report on implemented QA/QC activities and key findings will be prepared. At the end of the proposed activities, a workshop will be held to review the results. Policy makers and other stakeholders will be invited to participate in the workshop, so as to enhance their awareness on the importance of GHG inventory and on a long-term programme for the improvement of future GHG inventories. The technical capacity of the Inventory working group will be strengthened by means of trainings taking into account results of technical analyses for BUR2 and applying best practices and lessons learned from the preparation and reporting of national communications and BURs.

The SNC/1BTR project will strengthen cross-sectoral exchange and collaboration for preparation of the GHG inventory, streamline of institutional arrangements with other institutions/ Ministries for data collection and management. The development process of the SNC/1BTR will be aligned with the process of formulating and initiating of other projects to improve transparency in the country's reports.

The process of GHG inventory preparation will comprise of the following:

- Review and assessment of the national system for GHG inventory, including procedures and arrangements for activity data collection, processing, storage and the continued estimation, compilation and reporting of the national inventory report, as well as role of institutions involved in preparation of GHG inventory.
- Key category analysis and review and update of nationally adopted / country specific emission factors (EF) for the key source categories as needed, and GHG emissions recalculation conducted for 1990-2017 based on EFs adjustments.
- Assessment of the national green emission factor for 2013-2022 years.
- The technical capacity (human, scientific, technical and institutional capacity) of the Inventory working group strengthened to undertake a GHG inventory, including training of national experts involved in GHG inventory preparation for agriculture, waste and LULUCF sectors.
- Collection of activity data and preparation of the national GHG inventory for the sectors: energy, IPPU, AFOLU and waste in accordance with 2006 IPCC Guidelines, 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories and 2003 Good Practice GHG-LULUCF Guidelines, using the latest version of the GHG Inventory Software for non-Annex I countries, with introduction of Tier II for all abovementioned sectors to the extent possible for the years 2018-2022.
- Uncertainty analysis for emission and removal estimates for all source and sink categories.
- Assessment of completeness including information on explanation on exclusion of sources and sinks from the inventory and non-availability of data.
- Development of Quality Assurance and Quality Control plan and implementation of QA/QC procedures, based on considering the materials delivered by the CBIT project.
- Production of the national inventory report (NIR) including the national inventory document and common reporting tables.
- Review of the constraints facing GHG inventories per sectors.

Component 3: Track Progress of NDC implementation including the assessment of domestic mitigation actions

The BTR informs the Global Stocktake⁴ on Georgia's progress towards achieving NDCs, including good practices, priorities, needs and gaps, and support provided and received in order to assess collective progress towards achieving the objectives of the Paris Agreement. Accordingly, BTR requirements on NDC tracking reporting allows all stakeholders to have an information on progress made by country towards the NDC implementation and achievements within the reporting period.

⁴ The Global Stocktake (Art. 14 of the Paris Agreement) is a periodical stocktake of the implementation of this Paris Agreement undertaken to assess collective progress towards achieving the purpose of this Agreement and its long-term goals (referred to as the "global stocktake").

Pursuant to the updated NDC, Georgia's Law on Environmental Protection is a national legal act covering climate change overarching governance principles and Georgia's Law on Ambient Air Protection is a national legal act covering climate change governance matters. Furthermore, NDC communicates on the governmental advisory body of Climate Change Council operating in Georgia for an effective implementation of the climate change policy. In addition, on the government structure, NDC highlights the substantial role of municipalities in the achievement of the NDC targets and welcomes all parties at the municipal level in Georgia, who will be a member of the EU Initiative - Covenant of Mayors for Climate and Energy by the year of 2024, to work on the development and implementation of Sustainable Energy and Climate Action Plans for 2030.

The 5NC/1BTR will provide an update of this information along with the description of national circumstances and institutional administrative and procedural arrangements on NDC implementation. The sector details for energy, building, transport, IPPU, Agriculture, forestry and waste on institutional arrangements will be reported. Furthermore, the 5NC/1BTR will analyse stakeholder engagement related to the implementation and achievement of the NDC with a gender disaggregated data and appropriate information to be included in the report in accordance with the updated NDC. According to the Decision 8/CMA.1 related to the NDC, the sustainable development and poverty eradication aspects of the NDC will be subject of analysis and reporting.

The 5NC/1BTR of Georgia will provide the analysed information on each selected indicator of the NDC for the reference points and any recalculation of the GHG inventory providing new revised values. Moreover, the reference values will be compared with the most recent information for each indicator at the time of reporting and the results will be described in the 5NC/1BTR report pursuant to the table 1,2 and 4, Annex II of the Decision 5/CMA.3.

The project will also provide information on the methodology and/or accounting approach used to define the targets, construction of baselines and each indicator, including key parameters, assumptions, definitions, data sources and models used, IPCC guidelines and metrics used. The 5NC/1BTR will analyse and explain how the methodology in each reporting year is consistent with the methodology or methodologies used when communicating the NDC, explain any methodological inconsistencies with the Party's most recent NIR, if applicable, and describe how the double-counting of net GHG emissions reductions has been avoided and provide information in a tabular format in accordance with the table 3 of the Annex II of the Decision 5/CMA.3.

The NDC tracking will also cover the analysis of mitigation policies and measures, actions and plans. The 5NC/1BTR will provide an information on estimates of expected and achieved GHG emission reductions from its mitigation actions, policies and measures, and the methodologies and assumptions used to estimate the GHG emissions reductions or removals by each action, policy and measure organized by sector (energy, building, transport, industrial processes and product use, agriculture, LULUCF, and waste) in conjunction with CSAP of Georgia pursuant to the tables 5 and 12 of the Annex II of the Decision 5/CMA.3. Furthermore, supporting the global stocktake the 5NC/1BTR will assess the actions, policies and measures that affect GHG emissions from international transport and describe it in the report in case of relevance for the country.

The 5NC/1BTR of Georgia also will include a summary in a tabular format of its GHG emissions and removals for the year corresponding to the country's most recent NIR pursuant to the table 6 of the Annex II of the Decision 5/CMA.3.

The assessment of NDC implementation also considers the assessment of the possible scenarios of GHG emissions in future. The updated NDC of Georgia considers unconditional and conditional commitments. With unconditional commitments the GHG emission scenario targets the national GHG emissions by 35% lower than the level of 1990. In case of conditional commitments Georgia develops two scenarios targeting 50-57% of its total greenhouse gas emissions by 2030 compared to 1990, in case the global greenhouse gas emissions follow the 2 degrees or 1.5 degrees scenarios respectively, with the international support. Furthermore, the 5NC/1BTR projections must begin from the year used in the most recent NIR and extend at least 15 years after the next year ending with zero or five. Accordingly, the projections of GHG emissions up to 2040, in the main sectors will be developed including "With measures" projection of all GHG emissions and removals, considering currently implemented and adopted policies and measures (unconditional commitment) along "with additional measures" projection (conditional commitments) including implemented, adopted and planned policies and measures, and a "without measures" projection excluding all policies and measures implemented, adopted and planned pursuant to the tables 7, 8 and 9 of the Annex II of the Decision 5/CMA.3.

In case of the methodology, the sectoral targets for mitigation stated in the updated NDC follows the assumptions and methodologies used by the Climate Action Plan (2021-2023). The EX-Ante Carbon-balance Tool version 7 has been applied for mitigation targets setting in the Forest sector. The LEAP has been applied for estimation of GHG (CO₂, CH₄, and N₂O) emission limitations in all energy related sectors, including energy generation and transmission, building, transport, manufacturing industries. The 5NC/1BTR will provide the updates of the methodology used to generate the projections, including models, approaches and key underlying assumptions and parameters used and provide information in a tabular format in accordance with the tables 10 and 11 of the Annex II of the Decision 5/CMA.3. In addition, the 5NC/1BTR will conduct the sensitivity analysis of the projected mitigation scenarios and the results will be described in the report.

Pursuant to the updated NDC Georgia intends to collect, manage, report and archive the information on gender-disaggregated relevant data in its national reports related to the GHG mitigation and climate change adaptation; also, gender analysis, capacity

building and knowledge sharing within climate-related projects. Accordingly, the 5NC/1BTR will assess the role of women and men in mitigation policies and measures and recommendations to ensure gender mainstreaming in planning and implementation of climate change mitigation policies & measures will be produced.

During the development of the NDC tracking chapter stakeholder consultation workshops and outreach activities on climate change mitigation policies and measures will be organized to facilitate data provisions for analysis, raise awareness on mitigation aspects and validate results of assessments.

Component 4: Climate Change Impacts and Adaptation/Adaptation Communication

Vulnerability and Adaptation Chapter of the 4NC considered current trends of temperature, climate scenarios and precipitation and relative humidity projections. The sectoral assessments were focused on the expected impacts and vulnerabilities in Agriculture, Glaciers, Water resources, Coastal zone, Natural hazards, Geological Processes, Forests, Protected areas, Human health, Energy, Transport, Tourism, Biodiversity and Cultural heritage (Historical monuments) and provided a compilation of the recommended/proposed adaptation measures.

For future climate projections the RCP4.5 scenario has been applied. According to this scenario the average annual temperature will increase from 2.1°C to 3.7°C throughout the country in the period 2071-2100 compared to 1971-2000. The precipitation will be reduced significantly, in frames of 0-18%. The sectoral assessments within the 4NC demonstrated that Georgia will face water deficit in irrigation and hydroelectricity production, decline in the agricultural yield, more often forest fires, increase in natural hazards and coastal erosion as a result of the adverse effects of the climate change.

The 5NC/1BTR will revise climate change scenarios based on latest climate models and update the vulnerability and climate change impact assessments of the 4NC for the above sectors with inclusion of a detailed analysis on their adaptive capacities towards the negative effects of climate change. In addition, the 5NC/1BTR will cover sectors that have not been covered previously, such as infrastructure, high mountain settlements, food security, rural areas and roads.

A stocktaking exercise will be conducted to map out the most vulnerable sectors to climate risks in the country and to compile information on vulnerability and adaptation efforts including national/sub-national/sectoral adaptation policies, strategies and measures based on scientific studies and research.

The 5NC/1BTR will conduct detailed assessment on the progress of adaptation measures in compliance with NDC targets and identify barriers, challenges and gaps to adaptation along with good practices and lessons learned. Furthermore, the 5NC/1BTR will report on the system and institutional arrangements in place and approaches applied to monitor the implementation and achievement of adaptation actions.

Above assessments will be coordinated with and build on the results of the National Adaptation Plan (NAP) preparation process. MEPA submitted to GCF a project proposal for development of NAP, the proposal is in process on interdivisional review under GCF and is expected to be approved by late 2022. The Georgian NAP will include priority resources, priority sectors and priority themes. Priority sectors are as follows: agriculture, tourism, health; priority resources - biodiversity, water resources and mountainous ecosystems; priority themes - institutional strengthening, mainstreaming of climate change in sectorial policies and strengthening MRV system.

The project will carry out the analysis with a human-rights based and gender-sensitive approach throughout the vulnerability assessment and ensure that the compiled data will be disaggregated per age, gender, disability, to the extent possible. Furthermore, a study analysing the different gender roles in adaptation interventions, policy formulation and decision-making process will be prepared, with recommendations for greater resilience of women and men to climate change and to enhance gender mainstreaming in planning and implementation of climate change adaptation measures.

During the development of the Climate Change Impacts and Adaptation/Adaptation Communication chapter, stakeholder consultation workshops and outreach activities will be organized to facilitate data provisions for analysis, raise awareness on climate change impacts and adaptation including gender aspects and to validate results of assessments.

Pursuant to the Article 7 of the Paris Agreement (PA), each Party to the Convention should, as appropriate, submit and update periodically an adaptation communication, which may include its priorities, implementation and support needs, plans and actions. The adaptation communication shall be submitted as component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution as referred to in the Article 4 of the PA and/or a national communication. Georgia will consider this component of the 5NC/1BTR, its adaptation communication and will take into account the provisions of Decision 9/CMA.1 during its preparation and finalization.

Component 5: Compilation, publication and submission of the combined 5NC/1BTR report, Knowledge management, Monitoring and Evaluation

When the expected outcomes and their respective outputs are completed the 5NC/1BTR document will be compiled according to the guidelines, requirements and formats established by the UNFCCC, including common reporting tables and tabular formats as per 5/CMA.3. Compilation and approval process will follow close consultation with all relevant national stakeholders. Once finalized, the document will be translated, edited and submitted to the UNFCCC Secretariat for posting and dissemination. The 5NC/1BTR submission deadline is set for December 2024.

5NC/1BTR project monitoring and evaluation will be undertaken in compliance with GEF and UNDP requirements. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national institutes assigned to undertake project monitoring. Gender action plan will be developed and presented to the stakeholders during Inception Workshop.

Activities under this component will include the following:

- Inception Workshop organized and Inception Report prepared.
- Project financial and progress reports prepared and submitted regularly.
- Organize regular workshops to discuss progress, exchange ideas and present findings of the 5NC/1BTR process.
- Compile the 5NC/1BTR, introduce it to the national stakeholders.
- Review 5NC/1BTR by stakeholders.
- Validation of the 5NC/1BTR by the National Climate Change Council.
- Prepare the Executive Summary.
- Produce the 5NC/1BTR document in both English and Georgian.
- Submit the 5NC/1BTR to Project Board for technical review.
- Publish the 5NC/1BTR.
- Submit the 5NC/1BTR to the UNFCCC.
- Distribute the 5NC/1BTR report to stakeholders.
- Analyse lessons learned and disseminate thematic studies and project results.

4.2/ Partnerships:

The close collaboration of stakeholders, including ministries, NGOs, Academia and private sector is critical for addressing climate change issues allowing a real co-management. The project will ensure that key stakeholder representatives are involved early and throughout project implementation as partners for development. This includes their participation in the Project Board, in the Climate Change Council and its Working Groups to provide guidance and review of project outputs, as well as participation in monitoring activities. The project will create mechanisms for effective gender responsive stakeholder engagement and will ensure the meaningful participation of targeted groups. Efforts will be made to take into consideration the needs of marginalized groups, which are more affected by climate change. The project will also coordinate its activities and will benefit from complementary projects and initiatives related to climate change.

The preparation process of four National Communications and two Biennial Update Reports to the Conference of the Parties of the UNFCCC, has contributed to the institutional strengthening of the MEPA, as competent institution for the application of the Convention as well as of other relevant institutions at national level. This project will additionally improve the sustainability of the preparation of future NCs/BTRs/NDCs/NAPs and will facilitate the reporting requirements to the UNFCCC. Active participation by all stakeholders in the formulation of mitigation and adaptation assessments will be facilitated to ensure ownership and sustainability.

The project outcomes will facilitate the national mitigation and adaptation action and planning, will enable recognition of mitigation and adaptation efforts in the country, as well as will link the national climate action to international support. Moreover, the outcomes would support competent and informed policy making in the field of climate change and will enhance the positions of the country in the climate change negotiation process at international, as well as at European level.

At present time, a number of projects related to climate change in Georgia initiated by different international donors have been implemented or are under implementation. Some of the significant projects this project will coordinate with are listed below:

- Funded by the German Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) and implemented by GIZ project "**Capacity Development for climate policy in the countries of South East, Eastern Europe, the South Caucasus and Central Asia, Phase III (CDCP III)**". Project assisted Georgia in preparation of Climate Action plan 2020-2030.
- EU funded programme **EU4Climate**. The programme aims to assist Georgia in development and implementation of climate policy by Georgia, contributing to low emission and climate resilient development, and to its commitments to the Paris Agreement. The

overall objective is to contribute to climate change mitigation and adaptation, and development towards a low-emissions and climate-resilient economy. 2018-2023.

- **Georgia’s Integrated Transparency Framework for Implementation of the Paris Agreement.** Project objective is to meet the enhanced transparency framework (ETF) requirements under the Paris Agreement. 2019-2023.
- Georgia received funds from the Green Climate Funds (GCF) Readiness and Preparatory Support Programme and elaborated **GCF Country Programme of Georgia** which serves as a strategic framework for the country’s engagement with the Fund. It outlines the priorities of Georgia for using the GCF funding and country coordination mechanism for stakeholder engagement. It provides an overview of existing project ideas and proposals and reports on their status. It also presents the monitoring and evaluation framework of the country programme implementation. The Country Programme is conceived as a flexible programming framework that will be subject to periodic reviews and adjustments that will reflect the results of latest planning and programming efforts within the country. The list of project ideas will therefore be a subject to changes and should be treated as a living document.
- **Funded by the GCF-EBRD Sustainable Energy Finance Facility (Programme Green Cities Facility).** The programme will enable transition of cities to low-carbon, climate-resilient urban development. Countries eligible to receive GCF funding in the Caucasus, the Middle East and North Africa, Central Asia and south-eastern and eastern Europe. Executing Entities will comprise: European Bank for Reconstruction and Development and National governments municipalities. 2019.
- GCF funded project **Scaling-up Multi-Hazard Early Warning (MHEW) System and the Use of Climate Information in Georgia.** The project objective is to achieve transformative change in climate risk reduction and management in Georgia by development of a fully-integrated impact-based MHEW system. 2018-2025
- Funded by the GCF project **Enabling Implementation of Forest Sector Reform in Georgia to Reduce GHG Emissions from Forest Degradation.** The project will enable the Government of Georgia to implement its transformational forest sector reform agenda to put the entire nation’s forests under the Sustainable Forest Management framework. 2021-2025.
- **GCF – EBRD Sustainable Energy Financing Facilities/Scaling up private sector climate finance through local financial institutions (GCF-EBRD SEFF co-financing Programme, Participants: 13 countries in the Middle East and North Africa, Western and Central Asia, southern and eastern Europe).** The Programme will contribute to achieving a paradigm shift by creating new and significantly scaling up existing markets for commercial sustainable energy, energy efficiency and climate resilience financing. By doing so it will contribute to the aim as stated in the Paris Agreement to “make finance flows consistent with a pathway towards low greenhouse gas emissions and climate-resilient development”, through an innovative combination of financial support, capacity building and technology transfer and supported by a deep level of country ownership. 2017-2031.

Furthermore, the 5NC/1BTR project will strongly build on the capacity enhancement on transparency facilitated by “Integrated Transparency Framework for Implementation of the Paris Agreement” project supported by the Global Environment Facility through the Capacity Building Initiative for Transparency (CBIT).

The overarching goal of the national CBIT project is to meet the enhanced transparency framework (ETF) requirements under the Paris Agreement. In order to achieve these goals, it is necessary to develop a unified climate change management system in the country. The CBIT project supports the development of this tool that will allow Georgia to manage complex and effective climate change issues. Authorities and organizations working in the field of climate change in Georgia, including the signatory municipalities of the Covenant of Mayors, will be given the opportunity to benefit from the products offered by the project. The CBIT project mainly focuses on building national system for Monitoring, Reporting and Verification (MRV). It will make sure to incorporate transparency as the main guiding principle into the methodologies, procedures and guidelines on major elements of national MRV system (NDC tracking, GHG Inventory, QA/QC, verification and archiving).

It further aims to strengthen the governance mechanisms, including the Climate Change Council as well as the capacities and engagements of relevant national partners for transparency both national and sub-national level.

Specific results of the CBIT project, like Modalities, Procedures and Guidelines (MPGs) for sub-national climate actors will allow the 5NC/1BTR project to collect and analyse the data from municipalities of Georgia in order to provide information on mitigation effects in the 5NC/1BTR. Furthermore, enhanced data collection and management system, country-specific emission factors and other domestic parameters and modalities for QA/QC procedures established under the CBIT project will be used in NIR development. In addition, the NDC tracking tools will facilitate the process of development of NDC implementation assessment within the 5NC/1BTR.

Co-financing:

Co-financing source	Co-financing type	Co-financing amount	Included in project results?	If yes, list the relevant outputs
Ministry of Environment Protection and Agriculture	In kind	77,000 USD	No	N.A.

MEPA will support the project through the nomination of a high-level ministry official who will serve as the National Project Director (NPD) for the project implementation. NPD will not be paid from the project funds but will represent a Government's in-kind contribution to the project. The NPD will provide strategic guidance and supervision to the implementation of all project activities. Furthermore, MEPA will support the project through the use of equipment and premises for the PMU. The representative of Strategic Communication Department within MEPA will provide support in all activities aimed at promoting and communicating the project results to the key stakeholders and general public.

4.3/ Risks:

The main external risk for the project implementation is the possible structural changes in the Government (change in CCC, stakeholders etc.), which are expected to take place within the project's lifetime. In order to mitigate the risk, the project team will proactively apply the adaptive management approach in focusing on promotion of the key activities among line ministries and stakeholders while sustaining the relevance with the national priorities.

At the project implementation stage there is a moderate risk of slow validation process of the project findings and achievements which in turn might cause delays on schedule finalizing and submitting the document to the UNFCCC. The project will ensure step-by-step validation of each section of the document via sending out the draft sections by the IP to stakeholders and organizing peer-to-peer meetings to discuss results.

The project is moderately exposed to the COVID-19 related risks since it envisages several activities with the public gatherings at different stages i.e. inception workshop, stakeholder validation meetings, project closure meeting, PB meetings, working groups' meetings, etc. In case of restrictions on public gatherings posed by the Government, all meeting will be held online.

Full Risk Register is provided in the Annex 7.

4.4/ Stakeholder engagement and south-south cooperation:

Stakeholder involvement and consultation processes are critical to the success of the project. An effective engagement of key stakeholders is envisaged during project preparation, implementation, monitoring and evaluation to enhance ownership of the NC process and makes the report more responsive to national needs. The project proposal intends to strengthen stakeholder's participation to collectively participate in addressing climate change issues and challenges in Georgia. The stakeholders of the project are expected to come from a wide range of backgrounds, including line ministries and agencies, local communities, local authorities and NGOs, mass-media, research institutions, private sector and international organizations, with particular emphasis on related sectors.

The Ministry of Environment protection and Agriculture (MEPA) along with Climate Change Council (CCC) are expected to perform leadership and act in coordination with all relevant stakeholders throughout the activities, for ensuring the achievements of results to be reported and communicated through NCs and BTRs. The CCC member institutions and all relevant sectoral ministries will play key role in the 5NC/1BTR preparation activities. Other relevant stakeholders, CSO's, private sector and academia representatives will be included in the process through the participatory and inclusive approach planned within the project.

During the project implementation, Georgia will explore the opportunities to benefit and build on the existing institutional and stakeholder engagement and consultation mechanisms. Stakeholders will participate in all workshops (Initial and final workshops and sectoral workshops). Their comments during workshops and/or received within 1 week after workshop date will be considered by Project Management and taken into account if acceptable.

Detailed Stakeholders' Engagement Plan, with full list of stakeholders, together with their roles within the project implementation, can be found in Annex 7.

In addition, to bring the voice of Georgia to global and regional fora, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on climate change. The project will furthermore provide opportunities for regional cooperation with countries that are implementing initiatives on climate change reporting in geopolitical, social and environmental contexts relevant to the proposed project in Georgia.

4.5/ Gender equality and Women's Empowerment:

Georgia considers gender equality, a fundamental principle of the United Nations Charter, as a precondition for advancing development and reducing poverty. The Constitution of Georgia upholds the principle of equal rights for men and women in article 14. Georgia ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) in 1994, and the Optional Protocol to CEDAW in 2002. The country is a member of the Council of Europe and ratified the European Convention on Human Rights in 1999.

“The Generation Equality Forum” in Paris announced gender equality commitments and launch of a global 5-year action journey to accelerate gender equality by 2026. Georgia joined the global movement and made new commitments to strengthen gender equality. At the event on 29 June 2021 in Tbilisi, initiated by the Embassy of France, UN Women - Georgia and the United Nations Population Fund in Georgia, it was officially announced that the Government of Georgia will facilitate the implementation of new commitments in two thematic areas, strengthening efforts to combat gender-based violence and support the increased participation of women in technology and innovation.

Georgia recognizes the importance of incorporating gender issues within the climate change mitigation and adaptation efforts, according to the recommendations on this subject in the Paris Agreement (articles 7 and 11).

The National Association of Local Authorities of Georgia in frames of funded by the US Agency for International Development (USAID) project “Institutionalization of Climate Change Adaptation and Mitigation in Georgian Regions” among others considered gender related issues. According to this project, more women live below the poverty line at the national level than men. Due to their socio-economic situation and their physiology, women below the poverty line are more vulnerable than men towards different exposures of climate change, such as extreme temperatures and more frequent natural disasters. In general project concluded that understanding of gender related issues in Georgia’s municipalities is very low.

Georgia registered in the UNFCCC NAMA registry “Gender-sensitive Nationally Appropriate Mitigation Action in Georgia”, submitted by NGO “Greens movement of Georgia/Friends of Earth”. The NAMA aims to improve the overall quality of life and social well-being of families, in particular women and children. Its implementation will reduce the collection of fuel wood, increase access to energy, made cooking easier etc.

Women in Georgia are strongly engaged in all sectors of economic activity, especially in agriculture, mainly subsistence agriculture. Women are also involved in household works. Some of these activities, like using wood for heating and cooking, have an impact on the GHG emissions due to lack of access to clean and efficient energy sources.

The 5NC/1BTR project will incorporate gender perspective in the evaluation and understanding of how the different social roles and economic status of men and women affect and are affected differently by climate change adaptation and mitigation actions. In doing so the role of women will be considered not only as beneficiaries of climate change related activities but also in the decision-making process. During its inception phase⁵, project will prepare and finalize Gender analysis and Gender action plan⁶ in line with the GEF SEC’s policy on gender equality⁷ and Guidance to advance gender equality in GEF projects and programs⁸. The gender indicators will be selected for evaluation of the gender dimension in climate change adaptation and mitigation, as well as in the process of the project implementation. Balance will be sought for all activities under the project. Efforts will be made to have acceptable gender representation in project management structures (committees, institutional frameworks, technical team) and capacity building actions (trainings, workshops). With regard to the technical team to be hired to implement the enabling activity, gender balance will be also considered. The project will also perform a study, analysing the role of gender in adaptation and mitigation activities, policy formulation and knowledge.

The guidance on gender integration through the NCs and BURs developed by the Global Support Programme (GSP) through UNDP and in collaboration with UNEP and GEF will be applied. An inclusion of stakeholders who understand gender issues in relation to their sectors – will be conducted to assess and understand where deeper analysis and action is required. The areas where data and information on gender and climate change is not available will be identified with priorities and steps to fill gaps.

Gender analysis will follow the structure of five priority areas of UNFCCC Gender Action:

- Capacity building, knowledge sharing and communications
- Gender balance, participation and women’s leadership
- Coherence
- Gender responsive implementation and means of implementation
- Monitoring and reporting.

Furthermore, the project will ensure that for all analysis gender disaggregated data from National Statistics Office of Georgia and international approved sources for the following topics: education level, employment by economy sectors and other sectors identified as GHG emitters, gender pay gap (general and by sectors), economic empowerment, and health among others will be provided to allow development of recommendations for specific gender targeted and inclusive policies related to both adaptation and mitigation.

The Project will also provide capacity-building in relation to NC/BTR purpose and content, gender issues in environment and their

role in the NC/BTR processes if necessary.

4.6/ Innovativeness, Sustainability and Potential for Scaling Up:

4.6.1/ Innovativeness

Through the 5NC/1BTR project, Georgia will advance the reporting system through synergising the Convention and the Paris Agreement requirements. The project also will follow the UNDC commitments and related procedures developed domestically allowing enhanced cooperation of key stakeholders' active engagement in the system, for instance the Climate Change Council has a mandate to consider the project development key milestones and recommend accordingly. The 5NC/1BTR project is also going to be benefited from the products designed under the CBIT project in Georgia, including QA/QC procedures and country-specific factors, addressing the enhanced transparency framework (ETF) requirements originated from the Paris Agreement. The project will follow the domestically elaborated procedures and protocol for MRV of the national inventory of GHG emissions and mitigation measures, including programmes and projects at national and at municipal level. For instance, the results of measurement of a mitigation action at a municipal level will feed into the direct and indirect contribution to national policies and targets, reported by the comparability technical check.

The introduction of NDC progress assessment in Georgia for the emission reduction activities enhances the completeness and transparency in observation of the country's performance for achieving the UNDC goals. The development of robust NDC progress assessment system strengthens the clarity in a process of mitigation data generation and delivery. Correspondingly, it could catalyse a shift towards data-driven policy making in the field of climate change in the country.

4.6.2/ Sustainability

The Climate Change Division will ensure enhanced coordination of the 5NC/1BTR project deliverables and the preparation of Georgia's next NCs and BTRs. In other words, the MEPA team will track the delivery of the project results in order to ensure their use in related projects. Accordingly, the consistency of the outputs of the 5NC/1BTR project with Georgia's upcoming climate reporting projects to the UNFCCC will enhance the sustainability of the project.

Hence, once the reporting system driven by ETF and UNDC has been piloted during the 5th NC and 1st BTR, it will be guided for the advancement through the development of improvement plan. Subsequently, the outcomes will be handed over to the MEPA for the permanent use in order to ensure sustainability of the project achievements.

Finally, all deliverables, including data materials, knowledge sharing resources prepared within the project will remain available for future projects when needed. In addition, all necessary materials for supporting consistent NIR and NDC tracking will be delivered to MEPA for archiving purposes.

4.6.3/ Potential for Scaling Up

The MPGs adopted as a rule book gives the ideal innovative scheme for designing the measures addressing the gaps and barriers to the advancement of reporting system in the country. The 5NC/1BTR project focuses on the reporting of the national climate change policy developments and provision of the information on fulfilment of national targets. The technical capacity, tools and approaches used for the assessments and analysis of the national climate change policy developments in Georgia could be extended to other countries engaged in climate change reporting system.

Furthermore, the activities related to national circumstances and NDC progress assessment, estimation of GHG emissions in higher tier methods and identification of constraints and gaps has a potential to be scaled up at a regional level through activities including peer exchanges and capacity building. The 5NC/1BTR project could inspire other neighbouring countries how to build NDCs progress assessment system.

4.6.4/ Digital Solutions

The lockdowns introduced during the COVID-19 pandemic have already induced our society to bring many digital solutions to maintain work to the extent possible. By using this knowledge, the project implementation is going to benefit and maintain the assets gathered within these years. The project is going to use the digital solutions and technologies with a mode of digital components as an enabler as described below:

Stakeholder engagement for more clarity and transparency

The interested stakeholder's involvement in in-person meetings has always been challenged by time, distance and funds. With the digitally-enabled hybrid meetings via the use of online meeting platforms, the project will increase the stakeholder engagement on the development of deliverables and reduce the carbon footprints at a certain point for each stakeholder consultation event.

GHG Inventory, mitigation and adaptation data management

The project will benefit from the digital programmes developed by its predecessor project and adopted by the Government of Georgia. For instance, GHG inventory tool and climate change online data management system. Both digital tools will save the project resources to some extent on gathering validated information about mitigation and adaptation measures taken or envisaged in Georgia.

Project Management

The Project will use efficient options to fulfil the project management needs. The shared collaborative tools such as Google document, excel or sheet, and online team meeting tools that are the most intuitive for everyone in Georgia will be used for effective management of the project. These tools allowing the team to reduce the time and effort for transmitting and sharing the project data and information to each other, simultaneously address the key issues related to the project implementation.

V. PROJECT RESULTS FRAMEWORK

<p>This project will contribute to the following Sustainable Development Goal (s): SDG 5: Gender equality; SDG 7: Affordable and Clean Energy; SDG 13: Climate Action, SDG 17: Partnerships for the Goals</p>				
<p>This project will contribute to the following country outcome (UNDAF/CPD, RPD, GPD):</p> <p>UNSDCF 2021-2025: Outcome 5/CPD 2021-2025 Outcome 2: By 2025, all people, without discrimination, enjoy enhanced resilience through improved environmental governance, climate action and sustainable management and use of natural resource(s) in Georgia</p> <p>CPD 2021-2025 Output 2.1. enhanced environmental governance and institutional capacity to enable rational, equitable and sustainable use of natural/land resources, to ensure conservation of ecosystems, use of innovative and climate-friendly technologies for inclusive green economy, energy efficiency and clean energy production, and make communities more resilient to environmental shocks</p> <p>Outcome indicators as stated in CPD 2021-2025:</p> <p>2.1. (UNSDCF indicator 5.1) [National SDG 13.2.1] Country communicated establishment of integrated policy/strategy/plan which increases country's ability to adapt to adverse impacts of climate change, and foster climate resilience and low greenhouse gas emissions development. Baseline (2015): In 2015 Georgia adopted intended nationally determined contributions (INDC). The following are prepared: (a) Climate action plan (CAP), 2021-2030; (b) Nationally determined contributions (NDC), 2021- 2030; Target (2025): (a) Updated NDC approved by Government and submitted to UNFCCC; (b) National action plan for energy sector produced (2023); (c) Long-term low emissions development strategies (LTLEDs) elaborated/adopted (2021); (d) Fourth national communication to UNFCCC (2021)</p>				
<p>Applicable Output(s) from the UNDP Strategic Plan 2022-2025:</p> <p>1.1 The 2030 Agenda, Paris Agreement and other intergovernmentally-agreed frameworks integrated in national and local development plans, measures to accelerate progress put in place, and budgets and progress assessed using data-driven solutions</p> <p>Project title and Atlas Project Number:</p> <p>"Development of the Fifth National Communication and the First Biennial Transparency Report of Georgia to the UNFCCC" Project 00126379/Output00126379</p>				
Project Objective:	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target*
<p>To assist Government of Georgia in the preparation and submission of its Fifth National Communication and its First Biennial Transparency Report as a combined report for the fulfillment of the obligations under the United Nations Framework Convention on Climate Change (UNFCCC)</p>	<p>Mandatory Indicator 1</p> <p>Number of direct beneficiaries disaggregated by gender (individual people).</p>	<p>The knowledge of direct project beneficiaries in the corresponding institutions responsible for Climate Change policy development, enforcement, and implementation on UNFCCC enhanced reporting requirements to be improved.</p>	<p>Information about direct beneficiaries analyzed.</p>	<p>About 30 individuals (12 man and 18 women) in the corresponding institutions responsible for Climate Change policy development, enforcement, implementation, monitoring, and reporting are familiarized with the enhanced reporting requirements towards UNFCCC.</p>
<p>Project component 1</p> <p>Project Outcome 1.1</p> <p>Information on national circumstances and institutional arrangements reviewed and updated</p>	<p>National circumstances; institutional arrangements and support needed and received</p> <p>Indicator 2</p> <p>Information on national circumstances and institutional arrangements collected.</p>	<p>National circumstances and institutional arrangements described in 4NC.</p>	<p>National Circumstances and institutional arrangements Draft chapter of 5NC/1BTR prepared.</p>	<p>National Circumstances and institutional arrangements chapter of 5NC/1BTR prepared.</p>
<p>Outputs to achieve Outcome 1.1</p>	<p>1.1.1 National development objectives, priorities and circumstances relevant to addressing climate change and progress towards NDC implementation and integration of gender dimension into climate change policies and actions assessed</p> <p>1.1.2 Institutional arrangements relevant to the NCs/BTRs preparation on a continuous basis, as well as mechanisms for gender responsive stakeholders' involvement described.</p>			

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target*
	1.1.3 Gender Analysis and Action Plan prepared to promote gender equality and mainstreaming gender consideration into proposed project activities. 1.1.4 Other relevant information compiled (incl. research and systemic observation; and, education, training and public awareness)			
Outcome 1.2 Information on financial, technology development and transfer and capacity-building support needed and received compiled	Indicator 3 Information on constraints and gaps and related financial, technology development and transfer and capacity-building support needed and received collected.	Constraints and gaps and related financial, technology development and transfer and capacity building needs and support received described in 4NC.	Constraints and gaps and related financial, technology development and transfer and capacity building needs and support received draft chapter of 5NC/1BTR prepared.	Constraints and gaps and related financial, technology development and transfer and capacity building needs and support received chapter of 5NC/1BTR prepared.
Outputs to achieve Outcome 1.2	1.2.1. Constraints and gaps for mitigation and adaptation associated with the fulfilment of the national obligations under the UNFCCC, and related, financial, technology development and transfer and capacity-building support needs assessed and solutions proposed to address these needs; 1.2.2 Information on financial, technology development and transfer and capacity-building support received from bilateral and multilateral donors for activities relate to climate change provided, including level of support received for transparency related activities. National greenhouse gas inventory			
Project component 2				
Outcome 2.1 Enhanced national capacities for the continuous preparation and management of the national greenhouse gas inventory	Indicator 4 GHG Inventory for 2018-2022 years prepared and for 1990-2017 years recalculated.	The most recent GHG inventory prepared for the years 1990- 2017 in the frames of the FNC.	Draft GHG inventory chapter of 5NC/1BTR prepared.	GHG inventory chapter of 5NC/1BTR and National Inventory Report for 1990-2022 prepared in accordance with 2006 IPCC Guidelines.
Outputs to achieve Outcome 2.1	2.1.1 Activity data required by IPCC Guidelines is collected and analysed, data gaps filled to the possible extent; 2.1.2. Key category analysis and update of country-specific emissions factors for the key sources to the extent possible; 2.1.3 GHG Inventory for 2018-2022 years is prepared, and for 1990-2017 years is updated using 2006 IPCC Guidelines, 2013 Supplement to the 2006 IPCC Guidelines for wetlands” and the 2019 Refinement to the 2006 IPCC Guidelines to the possible extent for Energy, IPPU, AFOLU and Waste; 2.1.4 Completeness assessment, including insignificance measurement is conducted; 2.1.5 Uncertainty analysis for emission and removal estimates for all source and sink categories conducted; 2.1.6 Quality Assurance and Quality Control plan developed and QA/QC process implemented; 2.1.7 Constraints facing GHG inventories per sectors reviewed; 2.1.8 The technical capacity (human, scientific, technical and institutional capacity) of the Inventory working group strengthened to undertake a GHG inventory; 2.1.9 Data collection and storage system improved, and recommendations provided to prepare relevant laws and regulations for institutionalization of the GHG inventory; 2.1.10 National system for GHG Inventory, including procedures and arrangements for activity data collection, processing, storage and the continued estimation, compilation and reporting of the national inventory report as well as role of institutions involved in preparation of GHG inventory described. 2.1.11 National inventory report (NIR) is compiled, translated, edited, designed and published.			
Project component 3				
Outcome 3.1 The information necessary to track progress in implementing and achieving NDC provided	Indicator 5 3 NDC target indicators including 1 unconditional target indicator and 2 indicators for conditional scenarios are compared with GHG emission estimation results for 2021-2022 and reported. Indicator 6 For 3 scenarios of NDC, the methodology and accounting approaches are reported.	None (0) of the target indicators are compared with GHG emission results for 2021 and 2022. The general assumptions and methodological approaches are reported in NDC.	3 NDC target indicators are estimated. For 3 scenarios of NDC the methodology and accounting approaches are updated.	3 NDC target indicators are compared with GHG emission estimation results for 2021-2022 and reported. For 3 scenarios of NDC the methodology and accounting approaches are reported.

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target*
<p>Outputs to achieve Outcome 3.1</p>	<p>3.1.1 The institutional, administrative and procedural arrangements for tracking progress made in implementing and achieving NDCs are described; 3.1.2 The stakeholder engagement related to the implementation and achievement of NDCs with a gender disaggregated data is analysed and reported; 3.1.3 The NDC targets, indicators, reference points, periods of implementation, scope and coverage and structured summary are described; 3.1.4 The information for each selected indicator for the reference points and any recalculation of the GHG inventory providing new revised values are described and the reference values with the most recent information for each indicator at the time of reporting are compared; 3.1.5 The methodology and/or accounting approach used to define the targets, construction of baselines and each indicator, including key parameters, assumptions, definitions, data sources and models used, IPCC guidelines and metrics used are described; 3.1.6 The information on consistency of the methodology in each reporting year with the methodology used when communicating the NDC, including methodological inconsistencies with the most recent NIR and avoidance of the double-counting of net GHG emissions reductions is provided.</p>	<p>None (0) of estimates of achieved GHG emission reductions for all sectors individually for 2021 and 2022 are reported.</p>	<p>Estimated values of achieved GHG emission reductions for all sectors individually for 2021 and 2022 are reported.</p>	<p>Estimated values of achieved GHG emission reductions for all sectors individually for 2021 and 2022 are reported.</p>
<p>Outcome 3.2 Mitigation policies and measures and projections of GHG emissions up to 2040 analysed</p>	<p>Indicator 7 The information of estimates of achieved GHG emission reductions for mitigation actions, policies and measures in all sectors individually are reported.</p> <p>Indicator 8 Information on the mitigation co-benefits for adaptation actions and their social and economic impacts, challenges and barriers are collected.</p> <p>Indicator 9 Number of projections of the GHG emissions up to 2040 that are reported including methodology, models, approaches and key underlying assumptions and parameters used.</p> <p>Indicator 10 The gender disaggregated data for mitigation policies and measures are collected.</p>	<p>None (0) of estimates of achieved GHG emission reductions for all sectors individually for 2021 and 2022 are reported.</p> <p>No mitigation co-benefits for adaptation actions are reported in 4NC.</p> <p>None (0) of the projections of the GHG emissions up to 2040 are reported.</p> <p>No gender disaggregated data on mitigation policies and measures are reported.</p>	<p>Estimated mitigation co-benefits for adaptation actions and their social and economic impacts, challenges and barriers.</p> <p>At least 3 projections of the GHG emissions up to 2040 are reported.</p> <p>The gender disaggregated data for mitigation policies and measures are collected.</p>	<p>Mitigation co-benefits for at least 10 adaptation actions and/or economic diversification plans and their social and economic impacts, challenges and barriers are reported.</p> <p>At least 3 projections of the GHG emissions up to 2040 are reported.</p> <p>The gender disaggregated data for mitigation policies and measures are reported.</p>
<p>Outputs to achieve Outcome 3.2</p>	<p>3.2.1 Information on mitigation policies and measures, actions and plans reviewed and updated. 3.2.2 The information of estimates of expected and achieved GHG emission reductions from mitigation actions, policies and measures, and the methodologies and assumptions used to estimate the GHG emissions reductions or removals organized by sector (energy, building, transport, industrial processes and product use, agriculture, LULUCF, and waste) are described; 3.2.3 Actions, policies and measures that affect GHG emissions from international transport are identified and described; 3.2.4 Projections of GHG emission up to 2040 completed including "With Measures", "Without Additional Measures" and "Without Measures" projections; 3.2.5 The methodology used to generate the projections, including models, approaches and key underlying assumptions and parameters used is described; 3.2.6 The sensitivity analysis of the projected mitigation scenarios is conducted and described; 3.2.7 The role of women and men in mitigation policies and measures assessed and recommendations to ensure gender mainstreaming in planning and implementation of climate change mitigation policies & measures produced; 3.2.8 Stakeholder consultation workshops organised and outreach activities on climate change mitigation policies and measures, including gender awareness training implemented.</p>	<p>None (0) of the projections of the GHG emissions up to 2040 are reported.</p> <p>No gender disaggregated data on mitigation policies and measures are reported.</p>	<p>At least 3 projections of the GHG emissions up to 2040 are reported.</p> <p>The gender disaggregated data for mitigation policies and measures are collected.</p>	<p>At least 3 projections of the GHG emissions up to 2040 are reported.</p> <p>The gender disaggregated data for mitigation policies and measures are reported.</p>
<p>Project component 4</p>	<p>Climate change impacts and adaptation/Adaptation Communication</p>			

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target*
Outcome 4.1 Climate change Vulnerability assessment updated and progress of adaptation measures reported.	Indicator 11 Climate change scenarios revised and observed, and potential climate change impacts analyzed. Progress of adaptation measures implemented assessed. Indicator 12 The gender disaggregated data for adaptation policies and measures are collected.	Adaptation studies developed within 4NC. No gender disaggregated data on adaptation policies and measures are reported.	Draft Climate Change Impacts and Adaptation chapter of SNC/1BTR prepared. The gender disaggregated data for adaptation policies and measures are collected.	Climate scenarios developed and updated information on adaptation measures presented as part of Climate Change Impacts and Adaptation Chapter. The gender disaggregated data for adaptation policies and measures are reported.
Outputs to achieve Outcome 4.1	4.1.1 Climate change scenarios using appropriate climate models revised and observed and potential climate change impacts, including sectoral, economic, social and environmental vulnerabilities with gender approach and gender disaggregated data analyzed; 4.1.2 Assessment of the adaptive capacity of different economic sectors to the negative effects of climate change in line with NDC targets. 4.1.3 Updated information on adaptation measures, including national adaptation plans, priorities (including sectors and regions), cooperation, good practices and lessons learned 4.1.4 Progress of adaptation measures implemented at national and sub-national levels in compliance with the adaptation component of the NDC assessed with identification of challenges, gaps and barriers to adaptation. 4.1.5 Report on the approaches and system used for monitoring and evaluating the implementation of adaptation actions. 4.1.6 Study analysing the different gender roles and the integration of gender in adaptation measures with recommendations for enhancing gender mainstreaming in adaptation planning, decision-making and implementation 4.1.7 Consultations and workshops for stakeholders to increase their involvement and awareness on climate change impacts and adaptation (including gender awareness training) conducted.			
Project component 5	Compilation, publication and submission of the combined SNC/1BTR report, Knowledge management, Monitoring and Evaluation			
Outcome 5.1.1 Compilation and submission of the combined SNC/1BTR report and Knowledge Management	Indicator 13 SNC/1BTR submitted to UNFCCC.	Georgia's 4NC and BUR2 (2019).	Draft SNC/1BTR report prepared.	Georgia's SNC/1BTR report finalized, endorsed and submitted to the UNFCCC.
Outputs to achieve Outcome 5.1	5.1.1 SNC/1BTR produced, consulted with relevant stakeholders, edited, reviewed, translated, published, approved and submitted to the UNFCCC Secretariat by December 2024. 5.1.2 Regular workshops to discuss progress, exchange ideas and present findings of the NC/BTR process organized			
Outcome 5.2 Monitoring and Evaluation	Indicator 14 Monitoring and Evaluation undertaken in compliance with UNDP and GEF requirements.	Monitoring and Evaluation undertaken in 4NC.	Monitoring and Evaluation conducted in line with the approved M&E Plan, including Inception Workshop and annual status surveys.	Monitoring and Evaluation conducted in line with the approved M&E Plan, including annual status surveys and End of Project Report.
Outputs to achieve Outcome 5.2	5.2.1 Inception workshop and closure workshop organized 5.2.2 Project annual financial and progress reports, as well as periodic monitoring and evaluation prepared 5.2.3 End of project report including compilation of lessons learned and recommendations for future projects			

*The targets will be broken down by calendar years upon inception of the project.

VI. MONITORING AND EVALUATION (M&E) PLAN

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP \(including guidance on GEF project revisions\)](#) and [UNDP Evaluation Policy](#). **The UNDP Country Office is responsible for ensuring full compliance with all UNDP project M&E requirements including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements.**

Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the [GEF Monitoring Policy](#) and the [GEF Evaluation Policy](#) and other [relevant GEF policies](#)⁹. The M&E plan and budget included below will guide the GEF-specific M&E activities to be undertaken by this project.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report.

Minimum project monitoring and reporting requirements as required by the GEF:

Inception Workshop and Report: A project inception workshop will be held within 2 months from the First disbursement date, with the aim to:

- a. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
- b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
- c. Review the results framework and monitoring plan.
- d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP and other stakeholders in project-level M&E.
- e. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework (where relevant) and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
- f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
- g. Plan and schedule Project Board meetings and finalize the first-year annual work plan. Finalize the TOR of the Project Board.
- h. Formally launch the Project.

Annual progress: Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out once (in total three-times during project implementation) a year, in line with GEF and UNFCCC reporting requirements for NCs and BTRs.

Final/End of Project report: During the last three months, the project team will prepare the End of Project Report (template included in Annex 13). This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results. The End of Project Report shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy¹⁰ and the GEF policy on public involvement¹¹.

⁹ See https://www.thegef.org/gef/policies_guidelines

¹⁰ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

¹¹ See https://www.thegef.org/gef/policies_guidelines

Monitoring Plan: The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register, will be monitored quarterly.

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods ¹²	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Project objective To assist Government of Georgia in the preparation and submission of its Fifth National Communication and its First Biennial Transparency Report as a combined report for the fulfilment of the obligations under the United Nations Framework Convention on Climate Change (UNFCCC).	Indicator 1 Number of direct beneficiaries disaggregated by gender (individual people).	About 30 individuals (12 man and 18 woman in the corresponding institutions responsible for Climate Change policy development, enforcement, implementation, monitoring and reporting are familiarized with the enhanced reporting requirements towards UNFCCC.	Indicators were derived from major partners (institutions) based on previous experience of working on NCs/BURs.	Direct involvement in project activities, including participation in Project Board, Climate Change Council working groups, workshops etc. Project progress reports, minutes of board meetings, stakeholders' feedback.	Status Surveys on NCs/BTRs implementation are filled annually End of project.	EIEC PM	End of Project Report	Lack of relevant human capacities at IP might slow down the process of implementation. Climate change is no more a national priority.
Project Outcome 1.1 Information on national circumstances and institutional arrangements reviewed and updated.	Indicator 2 Information on national circumstances and institutional arrangements collected.	National Circumstances and institutional arrangements chapter of SNC/1BTR prepared.	National circumstances and institutional arrangements described in relevant chapter of SNC/1BTR.	UNFCCC methodology for NC/BTR development.	Status Surveys on NCs/BTRs implementation are filled in annually.	EIEC MEPA	UNFCCC website.	Willingness and availability of stakeholders to provide necessary data.

¹² Data collection methods should outline specific tools used to collect data and additional information as necessary to support monitoring.

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods ¹²	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Project Outcome 1.2 Information on financial, technology development and transfer and capacity-building support needed and received compiled.	Indicator 3 Information on constraints and gaps and related financial, technology development and transfer and capacity-building support needed and received collected	Constraints and gaps and related financial, technology development and transfer and capacity-building needs and support received chapter of SNC/1BTR prepared.	Constraints and gaps and related financial, technology development and transfer and capacity-building support needed and received described in relevant chapter of SNC/1BTR.	UNFCCC methodology for NC/BTR development, including the modalities, procedures and guidelines (MPGs) for the transparency framework of the Paris Agreement common reporting tables as per 5/CMA.3.	Status Surveys on NCs/BTRs implementation are filled in annually.	EIEC MEPA	UNFCCC website.	Limited availability of necessary data, especially related to IPPU and climate finance.
Project Outcome 2.1 Enhanced national capacities for the continuous preparation and management of the national greenhouse gas inventory.	Indicator 4 GHG Inventory for 2018-2022 years prepared and for 1990-2017 years recalculated.	GHG inventory chapter of SNC/1BTR and National Inventory Report for 1990-2022 prepared in accordance with 2006 IPCC Guidelines.	GHG inventory updated for additional years: 2018-2022.	IPCC 2006 Guideline and 2019 Refinement to the extent possible. MPGs and common reporting tables as per 5/CMA.3.	Status Surveys on NCs/BTRs implementation are filled in annually.	EIEC MEPA	UNFCCC web site.	Specific data are unavailable or inaccessible for GHG inventory team. Low capacities of GHG inventory unit, to collect relevant data as per IPCC 2006 guidelines.
Project Outcome 3.1 The information necessary to track progress in implementing and achieving NDC provided.	Indicator 5 3 NDC target indicators are compared with GHG emission estimation results for 2021-2022 and reported.	3 NDC target indicators are compared with GHG emission estimation results for 2021-2022 and reported.	Progress in NDC achievement reported based on the absolute value of GHG emissions including LULUCF (in Gg CO ₂ eq) for 2021 and 2022.	The data sources for baseline are NDC and targets, national GHG inventory for 2021 and 2022; The GHG estimations follows the modalities, procedures and guidelines (MPGs) for the transparency framework of	Status Surveys on NCs/BTRs implementation are filled in annually.	EIEC PM	UNFCCC web site.	Data are unavailable or inaccessible for project team. Project will use maximum efforts through the NPD or participant Ministries and stakeholders to acquire relevant data. Experts' judgments and analogue methods will be also used.

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods ¹²	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	<i>estimation results for 2021-2022 and reported.</i>			<i>the Paris Agreement and 2006 IPCC Guidelines. Common tabular formats as per Decision 5/CMA.3.</i>				
	Indicator 6 <i>For 3 scenarios of NDC the methodology and accounting approaches are reported.</i>	<i>For 3 scenarios of NDC the methodology and accounting approaches are updated.</i>	<i>LEAP/TIMES model for energy related GHG emissions (Gg CO2 eq.) and sectoral assumptions for non-energy related emissions.</i>	<i>The data sources for baseline are UNDC and targets, national GHG inventory for 2021 and 2022; MPGs of the Paris Agreement; The methodologies applied for the UNDC. Common tabular formats as per Decision 5/CMA.3.</i>	<i>Status Surveys on NCs/BTRs implementation are filled in annually.</i>	<i>EIEC PM</i>	<i>UNFCCC web site.</i>	<i>Limited coordination among institutions. The project will support the assignment of clear roles and responsibilities in the NDC tracking process, allowing institutions to participate in a transparent way while sharing regular updates on progress of the project implementation.</i>
Project Outcome 3.2 <i>Mitigation policies and measures and projections of GHG emissions up to 2040 analysed.</i>	Indicator 7 <i>The information of estimates of achieved GHG emission reductions for mitigation actions, policies and measures in all sectors individually are reported.</i>	<i>Estimated values of achieved GHG emission reductions for all sectors individually for 2021 and 2022 are reported.</i>	<i>Sectoral GHG emissions reduction estimations (Gg CO2 eq.) achieved from the implementation of domestic mitigation actions for 2021 and 2022.</i>	<i>The data source for baseline is UNDC and targets, national GHG inventory for 2021 and 2022, 2006 IPCC Guidelines, the MPGs of the Paris Agreement.</i>	<i>Status Surveys on NCs/BTRs implementation are filled in annually.</i>	<i>EIEC PM</i>	<i>UNFCCC web site.</i>	<i>Unwillingness of some private sector representatives to share data. Establishment of formal arrangements for GHG inventory and mitigation actions data collection is supported which will ensure data provision from private sector.</i>
	Indicator 8 <i>Information on the mitigation co-benefits</i>	<i>Mitigation co-benefits for at least 10 adaptation</i>	<i>In line with MPG requirements information</i>	<i>The data source for baseline is CSAP and its targets, national</i>	<i>Status Surveys on NCs/BTRs implementation are</i>	<i>EIEC PM</i>	<i>UNFCCC web site.</i>	<i>Limited coordination among institutions.</i>

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods ¹²	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	for adaptation actions and their social and economic impacts, challenges and barriers are collected.	actions and/or economic diversification plans, their social and economic impacts, challenges and barriers are reported.	will be provided on policies and measures contributing to mitigation co-benefits resulting from adaptation actions or economic diversification plans.	adaptation and economic diversification actions for 2021 and 2022; The MPGs for the transparency framework of the Paris Agreement.	filled in annually.			The project will support the assignment of clear roles and responsibilities in the NDC tracking process, allowing institutions to participate in a transparent way while sharing regular updates on progress of the project implementation.
	Indicator 9 Number of projections of the GHG emissions up to 2040 that are reported including methodology, models, approaches and key underlying assumptions and parameters used.	At least 3 projections of the GHG emissions up to 2040 are reported.	Projected values of GHG emissions including LULUCF (in Gg CO2 eq.) for 2040.	The data source for baseline is UNDC and targets, national GHG inventory for 2021 and 2022; The MPGs for the transparency framework of the Paris Agreement; The methodologies applied for the UNDC.	Status Surveys on NCs/BTRs implementation are filled in annually.	EIEC PM	UNFCCC web site.	Data are unavailable or inaccessible for project team. Project will use maximum efforts through the NPD or participant Ministries and stakeholders to acquire relevant data. Experts' judgments and analogue methods will be also used.
	Indicator 10 The gender disaggregated data for mitigation policies and measures are collected.	For mitigation policies and measures the gender disaggregated data are reported.	Number of men and women involved in the activity implementation based on surveys. Impacts of mitigation policies and measures on women and men.	The data source for baseline is CSAP and targets mitigation actions implementation survey for 2021 and 2022; Gender assessment.	Status Surveys on NCs/BTRs implementation are filled in annually.	EIEC PM	UNFCCC web site	Data are unavailable or inaccessible for project team. Project will use maximum efforts through the NPD or participant Ministries and stakeholders to acquire relevant data. Experts' judgments and analogue methods will be also used

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods ¹²	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Project Outcome 4.1 Climate change Vulnerability assessment updated and progress of adaptation measures reported.	Indicator 11 Climate change scenarios revised and observed and potential climate change impacts, analyzed. Progress of adaptation measures implemented assessed.	Climate scenarios developed and updated information on adaptation measures presented as part of Climate Change Impacts and Adaptation Chapter.	Climate scenarios developed and presented as part of the Adaptation Chapter of the Report. Progress in the implementation of adaptation action reported.	UNFCCC methodology, including the MPGs for the transparency framework of the Paris Agreement.	Status Surveys on NCs/BTRs implementation are filled in annually.	EIEC PM	UNFCCC web site.	Lack of data and capacities of national partners.
	Indicator 12 The gender disaggregated data for adaptation policies and measures are collected.	For adaptation policies and measures the gender disaggregated data are reported.	Number of men and women involved in the activity implementation based on surveys. Impacts of adaptation policies and measures on women and men.	The data source for baseline is adaptation actions implementation survey for 2021 and 2022; Gender assessment.	Status Surveys on NCs/BTRs implementation are filled in annually.	EIEC PM	UNFCCC web site.	Data are unavailable or inaccessible for project team. Project will use maximum efforts through the NPD or participant Ministries and stakeholders to acquire relevant data. Experts' judgments and analogue methods will be also used.
Project Outcome 5.1 Compilation and submission of the combined SNC/1BTR report and Knowledge Management.	Indicator 13 SNC/1BTR developed and submitted to the UNFCCC Secretariat	SNC/1BTR submitted to the UNFCCC by December 2024.	SNC/1BTR compiled, adopted by the government and submitted to the UNFCCC.	UNFCCC methodology, including outline for BTR report as per Decision 5/CMA.3.	Status Surveys on NCs/BTRs implementation are filled in annually.	EIEC PM	UNFCCC web site	Lack of coordination among stakeholders resulting in slow validation process. Structural changes in the Government might delay the adoption of the document.
Project Outcome 5.2	Indicator 14 Monitoring and	M&E conducted in line with the	Inception Workshop held, Inception	Templates for reports as per Programme and Operations	Status Surveys on NCs/BTRs implementa	EIEC PM	Inception Report,	As this will be one of the first projects implemented as

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods ¹²	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Monitoring and Evaluation.	Evaluation undertaken in compliance with UNDP and GEF requirements.	approved M&E Plan.	Report, Annual Status Surveys, PB meetings, End of Project Report.	Policies and Procedures.	tion are filled in annually.		Annual Status Surveys, PB meeting minutes, End of Project Report.	NIM, lack of experience and human capacities of IP might slow down the implementation.

Monitoring and Evaluation Plan and Budget for project execution		
GEF M&E requirements to be undertaken by Project Management Unit (PMU)	Indicative costs (US\$)	Time frame
Inception Workshop and Report	3,500	Within two months of First Disbursement
TOTAL indicative COST	3,500	

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

7.1: General roles and responsibilities in the projects' governance mechanism

Implementing Partner: The Implementing Partner for this project is the Environmental Information and Education Centre (EIEC) of the Ministry of Environmental Protection and Agriculture (MEPA), a legal entity of public law. Project implementation modality: Full National Implementation (Full NIM).

The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Overseeing the management of project risks as included in this project document and new risks that may emerge during project implementation.
- Procurement of goods and services, including human resources.
- Financial management, including overseeing financial expenditures against project budgets.
- Approving and signing the multiyear work plan.
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

The Ministry of Environmental Protection and Agriculture of Georgia (MEPA) is leading governmental agency related to climate change issues in Georgia and acting as the national focal point to the UNFCCC. The MEPA will nominate a high-level ministry official who will serve as the **National Project Director (NPD)** for the project implementation. The NPD will provide strategic guidance and supervision to the implementation of all project activities. NPD will not be paid from the project funds but will represent a Government's in-kind contribution to the Project

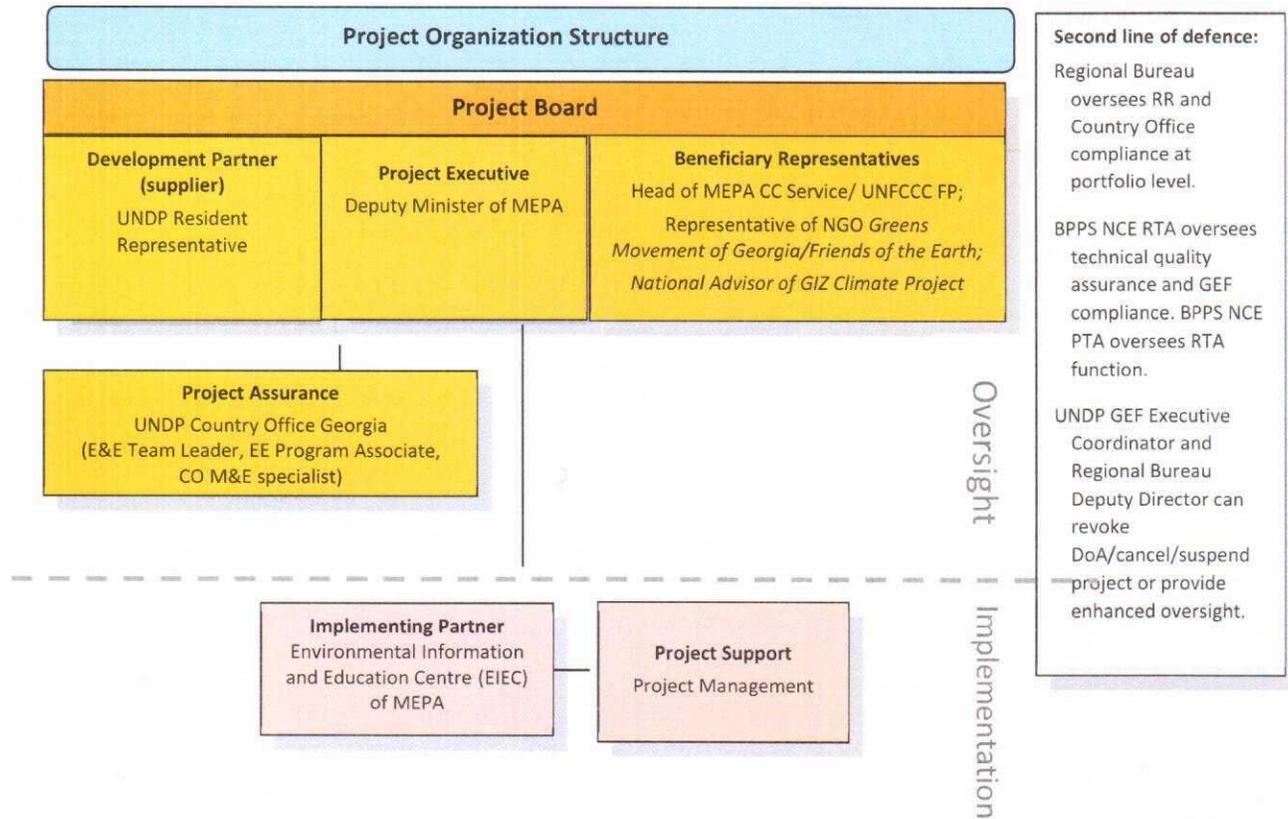
Responsible parties: N.A.

Project stakeholders and target groups

The Project main partners/beneficiaries, as well as target group representatives are involved in the Climate Change Council (CCC) and in its Working group. In the process of the project development and implementation, consultations will be held with the main partners/beneficiaries, as well as target group representatives to identify the requirements ensuring collection, reporting and archiving data on GHG Inventory, mitigation and adaptation actions and support needed and received on a continuous basis, which will contribute to the improved reporting process and information transparency in the country. For further information please refer to the Stakeholder Engagement Plan under Annex 7.

UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project.** UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

Section 2: Project governance structure



The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP’s Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office (EE Team Leader and Programme Associate) will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

7.3: Segregation of duties and firewalls vis-à-vis UNDP representation on the project board:

As noted in the [Minimum Fiduciary Standards for GEF Partner Agencies](#), in cases where a GEF Partner Agency (i.e. UNDP) carries out both implementation oversight and execution of a project, the GEF Partner Agency (i.e. UNDP) must separate its project implementation oversight and execution duties, and describe in the relevant project document a: 1) Satisfactory institutional arrangement for the separation of implementation oversight and executing functions in different departments of the GEF Partner Agency; and 2) Clear lines of responsibility, reporting and accountability within the GEF Partner Agency between the project implementation oversight and execution functions.

In this case, UNDP is only performing an implementation oversight role in the project vis-à-vis our role in the project board and in the project assurance function and therefore a full separation of project implementation oversight and execution duties has been assured.

7.4: Roles and Responsibilities of the Project Organization Structure:

- a) **Project Board:** All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project. UNDP standard Terms of Reference for a Project Board is attached as Annex 14.

The two main (mandatory) roles of the project board are as follows:

- 1) **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the ["Provide Oversight"](#) section of the [POPP](#)). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results.
- 2) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the ["Manage Change"](#) section of the [POPP](#)).

Requirements to serve on the Project Board:

- ✓ Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minutes of meetings.
- ✓ Meet annually; at least once.
- ✓ Disclose any conflict of interest in performing the functions of a Project Board member and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- ✓ Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
- ✓ Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

Responsibilities of the Project Board:

- ✓ Consensus decision making:
 - The project board provides overall guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.
 - Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report;
 - The project board is responsible for making management decisions by consensus.
 - In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.
 - In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.
- ✓ Oversee project execution:
 - Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.
 - Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.

- Address any high-level project issues as raised by the project manager and project assurance;
 - Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF policies);
 - Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.
 - Track and monitor co-financed activities and realisation of co-financing amounts of this project.
 - Approve the Inception Report.
 - Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.
- ✓ Risk Management:
- Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
 - Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.
 - Address project-level grievances.
- ✓ Coordination:
- Ensure coordination between various donor and government-funded projects and programmes.
 - Ensure coordination with various government agencies and their participation in project activities.

Composition of the Project Board: The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive usually is the senior national counterpart for nationally implemented projects (typically from the same entity as the Implementing Partner), and it must be UNDP for projects that are direct implementation (DIM). In exceptional cases, two individuals from different entities can co-share this role and/or co-chair the Project Board. If the project executive co-chairs the project board with representatives of another category, it typically does so with a development partner representative. The Project Executive is: *Deputy Minister of Environmental Protection and Agriculture of Georgia*.
 2. **Beneficiary Representative(s):** Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often representatives from civil society, industry associations, or other government entities benefiting from the project can fulfil this role. There can be multiple beneficiary representatives in a Project Board. The Beneficiary representative (s) is/are: *Head of MEPA CC Service, UNFCCC National Focal Point, Co-chairman of NGO Greens Movement of Georgia/Friends of the Earth and National Adviser of GIZ Project: Capacity Development for Climate Policy Phase 3*.
 3. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide funding, strategic guidance and/or technical expertise to the project. The Development Partner(s) is/are: *UNDP Resident Representative*.
- b) **Project Assurance:** Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is/are: *UNDP CO's E&E Team Leader and E&E Program Associate*.

- c) **Project Management – Execution of the Project:** The Project Manager (PM) (also called project coordinator) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

The primary PMU representative attending board meetings is: *Project Manager*.

The Project Management Unit will be recruited by EIEC. A Project Team will consist of the **Project Manager and a Project Assistant**.

The office space for the PMU will be provided by MEPA, within the premises of EIEC, as its in-kind contribution to the Project.

VIII. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD 594,000. This is financed through a GEF grant of USD 517,000 administered by UNDP and additional support from MEPA of USD 77,000. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources transferred to UNDP bank account only.

Co-financing: The actual realization of project co-financing amounts will be monitored by the UNDP Country Office and the PMU on an annual basis and will be reported to the Project Board as follows¹³:

Co-financing source	Co-financing type	Co-financing amount
<i>Government of Georgia</i>	<i>In kind</i>	<i>USD 77,000</i>

Budget Revision and Tolerance: As per UNDP POPP, the project board may agree with the project manager on a tolerance level for each detailed plan under the overall multi-year work plan. The agreed tolerance should be written in the approved project board meeting minutes. It should normally not exceed 10 percent of the agreed annual budget at the activity level, but within the overall approved multi-year work plan at the activity level. Within the agreed tolerances, the project manager can operate without intervention from the project board. Restrictions apply as follows:

Should the following deviations occur, the Project Manager/Implementing Partner through UNDP Country Office will seek the approval of the BPPS/NCE-VF team to ensure accurate reporting to the GEF. It is **strongly encouraged** to maintain the expenditures within the approved budget at the budgetary account and at the component level:

- Budget reallocations must prove that the suggested changes in the budget will not lead to material changes in the results to be achieved by the project. A strong justification is required and will be approved on an exceptional basis. Budget re-allocations among the components (including PMC) of the approved Total Budget and Work Plans (TBWP) that represent a value greater than 10% of the total GEF grant.
- Introduction of new outputs/activities (i.e. budget items) that were not part of the agreed project document and TBWP that represent a value greater than 5% of the total GEF grant. The new budget items must be eligible as per the [GEF and UNDP policies](#).
- Project management cost (PMC): budget under PMC component is capped and cannot be increased.

Any over expenditure incurred beyond the available GEF grant amount must be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

Project extensions: The UNDP Resident Representative and the UNDP-GEF Executive Coordinator must approve all project extension requests. Note that all extensions incur costs and the GEF project budget cannot be increased. A single extension may be granted on an exceptional basis and subject to the conditions and maximum durations set out in the UNDP POPP; the project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs will be covered by non-GEF resources; the additional UNDP oversight costs during the extension period must be covered by non-GEF resources, in accordance with UNDP's guidance set out in UNDP POPP.

Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agencies applicable audit policies.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the End of Project Report (that will be available in English), and the end-of-project review Project Board meeting. **Operational closure**

¹³ This is an Enabling Activity project, which is exempt from PIR, MTR and TE requirements.

must happen at the end date calculated by the approved duration after the Project Document signature or at the revised operational closure date as approved in the project extension. Any expected activity after the operational date requires project extension approval. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the project should have completed the transfer or disposal of any equipment that is still the property of UNDP.

Transfer or disposal of assets: In consultation with the Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project (it is strongly encouraged to be done before the operational closure date). In all cases of transfer, a transfer document must be prepared and kept on file¹⁴. The transfer should be done before Project Management Unit complete their assignments.

Financial completion (closure): The project will be financially closed when the following conditions have been met: a) the project is operationally completed or has been cancelled; b) the Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed **within 6 months of operational closure or after the date of cancellation.** If Operational Closure is delayed for any justified and approved reason, the Country Office should do all efforts to Financially Close the project within 9 months after the TE is completed or the submission of the Final/End of Project Report. Between operational and financial closure, the Implementing Partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the BPPS/NCE-VF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the BPPS/NCE-VF Directorate in New York. No action is required by the UNDP Country Office on the actual refund from UNDP project to the GEF Trustee.

¹⁴ See

https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

IX. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan	
Atlas Award ID:	00134925 Atlas Output Project ID: 00126379
Atlas Proposal or Award Title:	Development of the Fifth National Communication and the First Biennial Transparency Report of Georgia to the UNFCCC
Atlas Business Unit	GEO10
Atlas Primary Output Project Title	Preparation of Georgia's BTR/5NC to UNFCCC
UNDP-GEF PIMS No.	6597
Implementing Partner	Environmental Information and Education Centre of the Ministry of Environment Protection and Agriculture of Georgia

Atlas Activity (GEF Component)	Atlas Implementing Agent (Responsible Party)	Atlas Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Account Description	Amount (USD)				Total (USD)	Budget note
						Year 2022	Year 2023	Year 2024	Year 2025		
COMPONENT 1 National circumstances; institutional arrangements and support needed and received	Environmental Information and Education Centre (EIEC) under the MEPA	62000	GEF Trustee	72100	Contractual services- Companies	9,350	19,500	23,500	6,000	58,350	1
						4,000	0	0	0	4,000	2
Total Component 1						13,350	19,500	23,500	6,000	62,350	
COMPONENT 2: National greenhouse gas inventory	Environmental Information and Education Centre (EIEC) under the MEPA	62000	GEF Trustee	71300	Local Consultants	35,500	35,500	36,000	10,000	117,000	3
						2,000	0	0	0	2,000	4
						2,500	2,500	2,500	0	7,500	5
Total Component 2						40,000	38,000	38,500	10,000	126,500	
COMPONENT 3 Track progress of NDC implementation including the assessment of domestic mitigation actions	Environmental Information and Education Centre (EIEC) under the MEPA	62000	GEF Trustee	72100	Contractual services - Companies	37,000	38,400	39,000	2,000	116,400	6
						2,000	0	0	0	2,000	7
Total Component 3						39,000	38,400	39,000	2,000	118,400	
COMPONENT 4 Climate change impacts and adaptation/Adaptation Communication	Environmental Information and Education Centre (EIEC) under the MEPA	62000	GEF Trustee	72100	Contractual services - Companies	22,000	50,000	48,000	2,000	122,000	8
						1,500	0	0	0	1,500	9
Total Component 4						23,500	50,000	48,000	2,000	123,500	

Atlas Activity (GEF Component)	Atlas Implementing Agent (Responsible Party)	Atlas Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Account Description	Amount Year 2022		Amount Year 2023		Amount Year 2024		Amount Year 2025		Total (USD)	Budget note	
						(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)			
Total Component 4																
COMPONENT 5 Compilation, publication and submission of the combined SNC/IBTR report, Knowledge management, Monitoring and Evaluation	Environmental Information and Education Centre (EIEC) under the MEPA	62000	GEF Trustee	71300	Local Consultants	0	0	0	0	25,750	0	0	0	25,750	10	
				74200	Audio Visual Print Product Costs	0	0	0	0	0	5,000	0	0	5,000	11	
				75700	Training, workshop, conference	3,500	0	0	5,000	0	0	0	0	8,500	12	
Total Component 5																
PMC	Environmental Information and Education Centre (EIEC) under the MEPA	62000	GEF Trustee	71800	Contractual services- imp. Partner	10,890	14,520	14,520	14,520	14,520	0	0	3,630	43,560	13	
				74100	Professional services	0	1,720	0	0	0	1,720	0	0	1,720	3,440	14
Total PMC																
Total Project																
						23,500	50,000	50,000	48,000	48,000	2,000	2,000	123,500			
						3,500	0	0	30,750	5,000	5,000	5,000	39,250			
						10,890	14,520	14,520	14,520	14,520	0	0	3,630	43,560		
						0	1,720	0	0	0	1,720	0	3,440			
						10,890	16,240	16,240	14,520	14,520	5,350	5,350	47,000			
						130,240	162,140	162,140	194,270	30,350	30,350	30,350	517,000			

Budget Notes

#	Comments:
1	2 Request for Proposals (RFP) (tender) on preparation of SNC/IBTR chapters: Chapter 1. National circumstances, institutional arrangements and other information (Total: USD 27,350) and Chapter 5: Constraints and gaps and related financial, technology development and transfer and capacity-building support needed and received (Total: USD 31,000) will be announced.
2	2 Climate Change Experts to provide technical advice to the elaboration of tender documentation for the RFPs and participate in tender evaluation committee: USD 250/day for 4 days (2 experts in total 2,000USD). 1 Gender Expert to prepare the Gender Analysis and Action Plan - USD 250/day for 8 days.
3	15 Local consultants will be engaged for development of the GHG Inventory Chapter and National GHG Inventory Report: on average USD 780/month for 10 months (15 consultants in total 117,000USD).
4	Working station for GHG Inventory team leader (laptop, printer).

#	Comments:
5	One training for the GHG inventory national experts on "2019 Refinement to the 2006 IPCC Guidelines for National GHG Inventories" and two Working meeting with stakeholders, Workshop: presentation of National GHG inventory chapter and NIR (total 40 participants).
6	2 RFPs (tender) on Preparation of 5NC/1BTR NDC Tracking Sub-Chapter (Total: USD 68,400) and Mitigation Sub-Chapter (Total: USD 48,000) will be announced.
7	2 Climate Change Experts to provide technical advice to the elaboration of tender documentation for the RFPs and participate in tender evaluation committee: USD 250/day for 4 days (2 experts in total 2,000 USD).
8	RFP on preparation of 5NC/1BTR Climate Change Impacts and Adaptation Chapter will be announced. This will cover 1 chapter only and it will not be divided. The total is USD122,000.
9	Climate Change Expert to provide technical advice to the elaboration of tender documentation for the RFP and participate in tender evaluation committee: USD 250/day for 6 days.
10	Budget line will cover salaries of technical staff engaged for Knowledge Management and the compilation, design, editing and translation of the final 5NC/BTR1 report. (Compilation and KM experts: USD 1,450/month for 10 months, Editor: USD 10/page for 450 pages, Translator: USD 15/page for 450 pages).
11	5NC/1BTR printing costs.
12	Project Inception Workshop at Year 1 (2022) (60 participants) and Project Closure Workshop Year 4 (2025) (80 participants).
13	Budget line will cover salaries for a Project Manager: USD 850/month for 36 months and a Project Assistant USD 360/month for 36 months.
14	Line will cover audit costs as per HACT framework.

X. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Georgia and UNDP, signed on 1 July 1994. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by the Environmental Information and Education Centre of the Ministry of Environment Protection and Agriculture of Georgia (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XI. RISK MANAGEMENT

Implementing Partner is a Government Entity (NIM)

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
 - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.
4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
 - (a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
 - (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.
5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities) and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:
 - i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
 - ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;
 - iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
 - iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
 - v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the

extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

- b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
6. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
 7. The Implementing Partner: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
 8. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
 9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
 10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
 11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
 12. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

13. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

14. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
15. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
16. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XII. MANDATORY ANNEXES

1. GEF Budget Template (available from BPPS NCE-VF)
2. Project Map and geospatial coordinates of the project area
3. Multiyear Workplan
4. Social and Environmental Screening Procedure (SESP)
5. UNDP Atlas Risk Register
6. Overview of technical consultancies/subcontracts
7. Stakeholder Engagement Plan
8. Gender Analysis and Gender Action Plan
9. Procurement Plan – for first year of implementation
10. GEF Taxonomy
11. Implementing [Partner's HACT assessment and Capacity Assessment Tool](#)
12. UNDP Project Quality Assurance Report
13. Project Terminal Report (End of Project Report)
14. Terms of Reference (ToR) for the Project Board

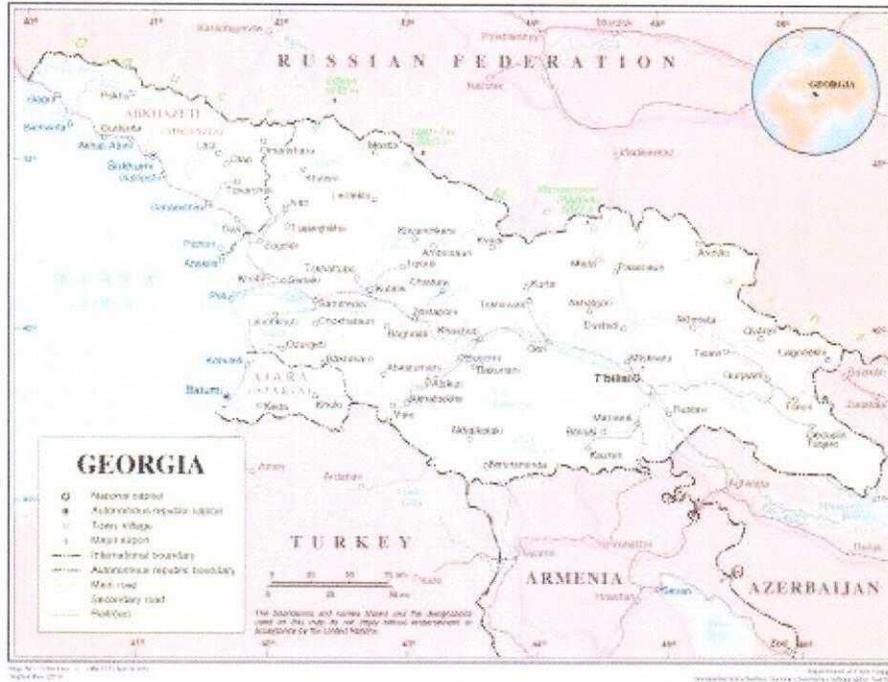
Annex 1: GEF Budget Template

Expenditure Category	Detailed Description	Component (USDeq.)										Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]	
		Component 1		Component 2	Component 3		Component 4	Component 5	Sub-Total	M&E	PMC			
		Sub-component 1.1	Sub-component 1.2	Sub-component 2.1	Sub-component 3.1	Sub-component 3.2	Sub-component 4.1	Sub-component 5.1						
Furniture/Equipment	Working station for GHG inventory team leader (laptop, printer).			2 000						2 000			2 000	EIEC under MEPA
Contractual Services – Individual	Budget line will cover salaries for a Project Manager: USD 850/month for 36 months and a Project Assistant: USD 360/month for 36 months.									-		43 560	43 560	EIEC under MEPA
Contractual Services – Company	Request for Proposal (RFP) on Preparation of 5NC/1BTR chapter: Chapter 1. National circumstances, institutional arrangements and other information will be announced.	27 350								27 350			27 350	EIEC under MEPA
Contractual Services – Company	RFP on Preparation of 5NC/1BTR chapter: Constraints and gaps and related financial, technology development and transfer and capacity-building support needed and received will be announced.		31 000							31 000			31 000	EIEC under MEPA
Contractual Services – Company	RFP on Preparation of 5NC/1BTR NDC Tracking Sub-Chapter will be announced.				68 400					68 400			68 400	EIEC under MEPA
Contractual Services – Company	RFP on Preparation of 5NC/1BTR Mitigation Sub-Chapter will be announced.					48 000				48 000			48 000	EIEC under MEPA
Contractual Services – Company	RFP on preparation of 5NC/1BTR Climate Change Impacts and Adaptation Chapter will be announced.						122 000			122 000			122 000	EIEC under MEPA
Local Consultants	Climate Change Expert to provide technical advice to the elaboration of tender documentation for the RFP and participate in tender evaluation committee: USD 250/day for 4 days. Gender Expert to prepare the Gender Analysis and Action Plan – USD 250/day for 8 days	3 000								3 000			3 000	EIEC under MEPA
Local Consultants	Climate Change Expert to provide technical advice to the elaboration of tender documentation for the RFP and participate in tender evaluation committee: USD 250/day for 4 days.		1 000							1 000			1 000	EIEC under MEPA
Local Consultants	15 Local consultants will be engaged for development of the GHG Inventory Chapter and National GHG Inventory Report: on average USD 780/month for 10 months.			117 000						117 000			117 000	EIEC under MEPA
Local Consultants	Climate Change Expert to provide technical advice to the elaboration of tender documentation for the RFP and participate in tender evaluation committee: USD 250/day for 4 days.				1 000					1 000			1 000	EIEC under MEPA
Local Consultants	Climate Change Expert to provide technical advice to the elaboration of tender documentation for the RFP and participate in tender evaluation committee: USD 250/day for 4 days.					1 000				1 000			1 000	EIEC under MEPA
Local Consultants	Climate Change Expert to provide technical advice to the elaboration of tender documentation for the RFP and participate in tender evaluation committee: USD 250/day for 6 days.						1 500			1 500			1 500	EIEC under MEPA
Local Consultants	Budget line will cover salaries of technical staff engaged for Knowledge Management: and the compilation, design, editing and translation of the final 5NC/BTR1 report. (Compilation and KM experts: USD 1,450/month for 10 months, Editor: USD 10/page for 450 pages, Translator: USD 15/page for 450 pages.)							25 750		25 750			25 750	EIEC under MEPA
Trainings, Workshops, Meetings	One training for the GHG inventory national experts on "2019 Refinement to the 2006 IPCC Guidelines for National GHG Inventories" and two Working meeting with stakeholders, Workshop: presentation of National GHG inventory chapter and NIR (total 40 participants).			7 500						7 500			7 500	EIEC under MEPA
Trainings, Workshops, Meetings	Project Closure workshop (80 participants)							5 000		5 000			5 000	EIEC under MEPA
Trainings, Workshops, Meetings	Project Inception workshop (60 participants)								-		3 500		3 500	EIEC under MEPA
Other Operating Costs	5NC/1BTR printing costs							5 000		5 000			5 000	EIEC under MEPA
Other Operating Costs	Line will cover audit costs as per HACT framework										3 440		3 440	UNDP
Grand Total		30 350	32 000	126 500	69 400	49 000	123 500	35 750	466 500	466 500	3 500	47 000	517 000	

Annex 2: Project map and Geospatial Coordinates of project sites

Project site: Tbilisi, Georgia

Tbilisi, Georgia is located at Georgia country in the Cities place category with the GPC coordinates of 41° 43' 0.0012" N and 44° 46' 59.9988" E. The latitude of Tbilisi is **41.716667** and the longitude is **44.783333**.



Annex 3: Multi Year Work Plan

Outcomes/Outputs	2022				2023				2024				2025	
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
Implementation arrangements and project inception														
Establish the Project implementation unit and Project Board.			X											
Organize Inception workshop.			X											
Revise the project annual plan to reflect decisions of the Inception workshop.			X											
Component 1. National circumstances; institutional arrangements and support needed and received.														
Outcome 1.1 Information on national circumstances and institutional arrangements reviewed and updated.														
1.1.1 National development objectives, priorities and circumstances relevant to addressing climate change and progress towards NDC implementation and integration of gender dimension into climate change policies and actions assessed.			X	X		X								
1.1.2 Institutional arrangements relevant to the NCs/BTRs preparation on a continuous basis, as well as mechanisms for gender responsive stakeholders' involvement described.			X	X		X								
1.1.3 Gender Analysis and Action Plan prepared to promote gender equality and mainstreaming gender consideration into proposed project activities.			X	X										
1.1.4 Other relevant information compiled (incl. research and systemic observation); and, education, training and public awareness).			X	X		X								
Outcome 1.2 Information on financial, technology development and transfer and capacity-building support needed and received compiled.														
1.2.1. Constraints and gaps for mitigation and adaptation associated with the fulfilment of the national obligations under the UNFCCC, and related, financial, technology development and transfer and capacity-building support needs assessed and solutions proposed to address these needs.			X	X		X								
1.2.2 Information on financial, technology development and transfer and capacity-building support received from bilateral and multilateral donors for activities related to climate change provided, including level of support received for transparency related activities.			X	X		X								
Component 2. National greenhouse gas inventory.														
Outcome 2.1 Enhanced national capacities for the continuous preparation and management of the national greenhouse gas inventory.														
2.1.1 Activity data required by IPCC Guidelines is collected and analysed, data gaps filled to the possible extent.			X	X										
2.1.2. Key category analysis and update of country-specific emissions factors for the key sources to the extent possible.						X	X							
2.1.3 GHG Inventory for 2018-2022 years is prepared, and for 1990-2017 years is updated using 2006 IPCC Guidelines, 2013 Supplement to the 2006 IPCC Guidelines for wetlands" and the 2019 Refinement to the 2006 IPCC Guidelines to the possible extent for Energy, IPPU, AFOLU and Waste.			X	X		X	X					X		

Outcomes/Outputs	2022				2023				2024				2025	
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
	2.1.4 Completeness assessment, including insignificance measurement is conducted.					X	X							
2.1.5 Uncertainty analysis for emission and removal estimates for all source and sink categories conducted.					X	X								
2.1.6 Quality Assurance and Quality Control plan developed and QA/QC process implemented.				X	X	X	X	X						
2.1.7 Constraints facing GHG inventories per sectors reviewed.						X	X							
2.1.8 The technical capacity (human, scientific, technical and institutional capacity) of the Inventory working group strengthened to undertake a GHG inventory.			X	X										
2.1.9 Data collection and storage system improved, and recommendations provided to prepare relevant laws and regulations for institutionalization of the GHG inventory.			X	X										
2.1.10 National system for GHG Inventory, including procedures and arrangements for activity data collection, processing, storage and the continued estimation, compilation and reporting of the national inventory report as well as role of institutions involved in preparation of GHG inventory described.					X	X								
2.1.11 National inventory report (NIR) is compiled, translated, edited, designed and published.					X	X	X	X						
Component 3. Track progress of NDC implementation including the assessment of domestic mitigation actions.														
Outcome 3.1 The information necessary to track progress in implementing and achieving NDC provided.														
3.1.1 The institutional, administrative and procedural arrangements for tracking progress made in implementing and achieving NDCs are described.					X	X								
3.1.2 The stakeholder engagement related to the implementation and achievement of NDCs with a gender disaggregated data is analysed and reported.						X	X							
3.1.3 The NDC targets, indicators, reference points, periods of implementation, scope and coverage and structured summary are described.					X	X	X							
3.1.4 The information for each selected indicator for the reference points and any recalculation of the GHG inventory providing new revised values are described and the reference values with the most recent information for each indicator at the time of reporting are compared.						X	X	X						
3.1.5 The methodology and/or accounting approach used to define the targets, construction of baselines and each indicator, including key parameters, assumptions, definitions, data sources and models used, IPCC guidelines and metrics used are described.						X	X	X						
3.1.6 The information on consistency of the methodology in each reporting year with the methodology used when communicating the NDC, including methodological inconsistencies with the most recent NIR and avoidance of the double-counting of net GHG emissions reductions is provided.				X				X						
Outcome 3.2 Mitigation policies and measures and projections of GHG emissions up to 2040 analysed.														
3.2.1 Information on mitigation policies and measures, actions and plans reviewed and updated.								X	X					

Outcomes/Outputs	2022				2023				2024				2025	
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
	3.2.2 The information of estimates of expected and achieved GHG emission reductions from mitigation actions, policies and measures, and the methodologies and assumptions used to estimate the GHG emissions reductions or removals organized by sector (energy, building, transport, industrial processes and product use, agriculture, LULUCF, and waste) are described.					X	X	X	X	X				
3.2.3 Actions, policies and measures that affect GHG emissions from international transport are identified and described.					X	X	X	X	X					
3.2.4 Projections of GHG emission up to 2040 completed including "With Measures", "With Additional Measures" and "Without Measures" projections.								X	X					
3.2.5 The methodology used to generate the projections, including models, approaches and key underlying assumptions and parameters used is described.						X	X	X	X					
3.2.6 The sensitivity analysis of the projected mitigation scenarios is conducted and described.								X	X					
3.2.7 The role of women and men in mitigation policies and measures assessed and recommendations to ensure gender mainstreaming in planning and implementation of climate change mitigation policies & measures produced.								X	X					
3.2.8 Stakeholder consultation workshops organized and outreach activities on climate change mitigation policies and measures, including gender awareness training implemented.						X			X					
Component 4. Climate change impacts and adaptation/Adaptation Communication														
Outcome 4.1 Climate change Vulnerability assessment updated, and progress of adaptation measures reported.														
4.1.1 Climate change scenarios using appropriate climate models revised and observed and potential climate change impacts, including sectoral, economic, social and environmental vulnerabilities with gender approach and gender disaggregated data analyzed.					X	X	X							
4.1.2 Assessment of the adaptive capacity of different economic sectors to the negative effects of climate change in line with NDC targets.					X	X	X	X						
4.1.3 Updated information on adaptation measures, including national adaptation plans, priorities (including sectors and regions), cooperation, good practices and lessons learned.						X	X	X	X					
4.1.4 Progress of adaptation measures implemented at national and sub-national levels in compliance with the adaptation component of the NDC assessed with identification of challenges, gaps and barriers to adaptation.						X	X	X	X					
4.1.5 Report on the approaches and system used for monitoring and evaluating the implementation of adaptation actions.						X	X	X	X					
4.1.6 Study analysing the different gender roles and the integration of gender in adaptation measures with recommendations for enhancing gender mainstreaming in adaptation planning, decision-making and implementation.							X	X	X					

Outcomes/Outputs	2022				2023				2024				2025	
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
	4.1.7 Consultations and workshops for stakeholders to increase their involvement and awareness on climate change impacts and adaptation (including gender awareness training) conducted.							X						
Component 5. Compilation, publication and submission of the combined 5NC/1BTR report, Knowledge management, Monitoring and Evaluation.														
Outcome 5.1. Compilation and submission of the combined 5NC/1BTR report and Knowledge Management.														
5.1.1 5NC/1BTR produced, consulted with relevant stakeholders, edited, reviewed, translated, published, approved and submitted to the UNFCCC Secretariat by December 2024.								X					X	
5.1.2 Regular workshops to discuss progress, exchange ideas and present findings of the NC/BTR process organized.			X						X					X
Outcome 5.2 Monitoring and Evaluation.														
5.2.1 Inception workshop and closure workshop organized.			X									X		
5.2.2 Project annual financial and progress reports, as well as periodic monitoring and evaluation (M&E) prepared.				X									X	
5.2.3 End of project report including compilation of lessons learned and recommendations for future projects.													X	X

Annex 4: UNDP Social and Environmental Screening Procedure (SESP)

Project Information

Project Information	
1. Project Title	Development of the Fifth National Communication and the First Biennial Transparency Report of Georgia to the UNFCCC
2. Project Number (i.e. Atlas project ID, PIMS+)	GEF Project ID: 10743; GEF Agency Project ID: 6597 Atlas Project: 00134925
3. Location (Global/Region/Country)	Georgia
4. Project stage (Design or Implementation)	Design (ProDoc)
5. Date	27 January 2022

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the project mainstreams the human rights-based approach

The project will help to mainstream human right-based approach during the assessment of climate change mitigation, adaptation and cross-cutting policies and measures while meeting reporting requirements under the United Nations Framework Convention on Climate Change (UNFCCC). The project activities aiming at monitoring and reporting on climate change mitigation and adaptation policies and measure are elaborated to incorporate the needs and concerns of the relevant target groups and the vulnerable groups identified by Georgia's NDC including those that are potentially marginalized. The planned stakeholder engagement activities including targeted consultations, workshops and trainings within the project are designed to enhance the availability and accessibility to the process of decision-making for the vulnerable group representatives including potentially marginalized individuals and groups in accordance with non-discriminatory, equality and human-rights principles.

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment

The project marked as GEN2 incorporates gender perspective in the evaluation and understanding of how the different social roles and economic status of men and women affect and are affected differently by climate change adaptation and mitigation actions. In doing so the role of women will be considered not only as beneficiaries of climate change related activities but also in the decision-making process. Gender action plan will be developed and presented to the stakeholders during Inception Workshop. The gender indicators will be selected for evaluation of the gender dimension in climate change adaptation and mitigation, as well as in the process of the project implementation. Gender balance will be sought for all activities under the project. Efforts will be made to have acceptable gender representation in project management structures (committees, institutional frameworks, technical team) and capacity building actions (trainings, workshops). With regards to the technical team to be hired to implement the enabling activity, gender balance will be also considered. The project will also perform a study, analyzing the role of gender in adaptation and mitigation activities, policy formulation and knowledge.

Briefly describe in the space below how the project mainstreams sustainability and resilience

The project will revise climate change scenarios based on latest climate models and update the vulnerability and climate change impact assessments of the Fourth National Communication (4NC) for the above sectors with inclusion of a detailed analysis on their adaptive capacities towards the negative effects of climate change. In addition, the SNC/1BTR project will cover sectors that have not been covered previously, such as infrastructure, high mountain settlements, food security, rural areas and roads.

A stocktaking exercise will be conducted to map out the most vulnerable sectors to climate risks in the country and to compile information on vulnerability and adaptation efforts including national/sub-national/sectoral adaptation policies, strategies and measures based on scientific studies and research.

Briefly describe in the space below how the project strengthens accountability to stakeholders

The close collaboration of stakeholders, including ministries, NGOs, Academia and private sector is critical for addressing climate change issues allowing a real co-management. The project will ensure that key stakeholder representatives are involved early and throughout project implementation as partners for development. This includes their participation in the Project Board, in the Climate Change Council and its Working Groups to provide on guidance and review of project outputs, as well as participation in monitoring activities. The project will create mechanisms for effective gender responsive stakeholder engagement and will ensure the meaningful participation of targeted groups. Efforts will be made to take into consideration the needs of marginalized groups, which are more affected by climate change. The project will also coordinate its activities and will benefit from complementary projects and initiatives related to climate change. The project outputs and approval process will follow close consultation with all relevant national stakeholders. In addition to mandatory UNDP and GEF M&E requirements, other M&E activities will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national institutes assigned to undertake project monitoring.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks?
Note: Complete SESP Attachment 1 before responding to Question 2.

QUESTION 3: What is the level of significance of the potential social and environmental risks?
Note: Respond to Questions 4 and 5 below before proceeding to Question 5

QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High

Risk Description (broken down by event, cause, impact)	Impact and Likelihood (1-5)	Significance (Low, Moderate, Substantial, High)	Comments (optional)	Description of assessment and management measures for risks rated as Moderate, Substantial or High
Risk 1: Policies that are developed with support from the project may not be implemented properly and/or may lead to indirect/unintended environmental and/or social impacts. (Checklist Question P.4	I = 2 L = 3	Low	The project plans to gather information on implemented, ongoing and planned climate policies, programmes and actions in order to estimate their mitigation effects, their contribution to increase Georgia's adaptive capacity to climate change and their social, environmental and economic impacts, challenges and barriers.	As risk is low, no further assessment and/or management measures are needed.

<i>Risk Description (broken down by event, cause, impact)</i>	<i>Impact and Likelihood (1-5)</i>	<i>Significance (Low, Moderate, Substantial, High)</i>	<i>Comments (optional)</i>	<i>Description of assessment and management measures for risks rated as Moderate, Substantial or High</i>
<p>Adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?)</p>			<p>The project does not directly develop policies, strategies and plans, but provides a projection of greenhouse gas emission for 2040 in order to define whether Georgia is on the right mitigation pathway. The assessment of the social and environmental risks of the implemented and non-implemented policies, and the formulation of recommendations to address such risks shall be based on the social and environmental screening procedures of UNDP. Specific project activities that will be carried out that will contribute to the mitigation of this risk are those that will deliver the following outputs:</p> <p>Outcome 3.2 Mitigation policies and measures and projections of GHG emissions up to 2040 analyzed.</p> <p>Outcome 4.1 Climate change vulnerability assessment updated and progress of adaptation measures reported.</p>	
<p>Risk 2: The Project may exclude potentially affected stakeholders, in particular marginalized groups, from fully participating in the assessments that will be carried out under the project.</p> <p>(Checklist Question P.13 Exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?)</p>	<p>I = 4 L = 1</p>	<p>Low</p>	<p>The project considers an inclusive and gender-sensitive stakeholder engagement process from the beginning of the project design to the M&E phase, including activities such as collecting and analysing the existing gender statistics and to date research on gender issues in the climate change related areas, analysing gender dimensions of various human activity fields being affected by/or contributing to climate change, highlighting constraints, gaps and needs from the SMC/IBTR gender analysis/reporting viewpoint, and ensure gender equal participatory process in co-design of baseline and mitigation scenarios. In addition, the project activities will assess how vulnerable and marginalized groups are affected by climate change and how their needs and concerns are being considered by climate change mitigation and adaptation policies and measures. To this end, the project will make great efforts to continuously identify additional stakeholders, especially vulnerable and marginalized groups to be engaged in the project to ensure that they are</p>	<p>As risk is low, no further assessment and/or management measures are needed.</p>

Risk Description (broken down by event, cause, impact)	Impact and Likelihood (1-5)	Significance (Low, Moderate, Substantial, High)	Comments (optional)	Description of assessment and management measures for risks rated as Moderate, Substantial or High								
<p>Risk 3: Natural hazards, extreme climate events exacerbated by climate change may affect project implementation</p> <p>(Checklist Question 2.2 outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes)</p>	<p>I = 2 L = 2</p>	<p>Low</p>	<p>consulted, and their concerns and inputs are fully integrated during the preparation and finalization of project results.</p> <p>In case of the adverse impact of the extreme weather event the postponed activities will only return in its course when the appropriate decision will be released assuring the safety and security. The project data is processed and stored digitally, increasing data security.</p> <p>The stakeholder consultations, workshops and trainings are intended to be taken in person mode. In case of the appearance of the extreme climate events, the in-person events are subject to shift in online mode, when possible.</p>	<p>As risk is low, no further assessment and/or management measures are needed.</p>								
QUESTION 4: What is the overall project risk categorization?												
<p style="text-align: center;"> <input checked="" type="checkbox"/> Low Risk <input type="checkbox"/> Moderate Risk <input type="checkbox"/> Substantial Risk <input type="checkbox"/> High Risk </p>												
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)												
<p style="text-align: center;">Question only required for Moderate, Substantial and High Risk projects</p>												
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th data-bbox="1157 1434 1234 1810" style="width: 60%;"><i>Is assessment required? (check if "yes")</i></th> <th data-bbox="1157 1039 1234 1434" style="width: 15%;"></th> <th data-bbox="1157 420 1234 1039" style="width: 15%;"></th> <th data-bbox="1157 283 1234 420" style="width: 10%;">Status? (completed, planned)</th> </tr> </thead> <tbody> <tr> <td data-bbox="1234 1434 1326 1810" style="vertical-align: top;"><i>if yes, indicate overall type and status</i></td> <td data-bbox="1234 1039 1326 1434" style="text-align: center;"><input type="checkbox"/></td> <td data-bbox="1234 420 1326 1039" style="vertical-align: top;"> <input type="checkbox"/> Targeted assessment(s) <input type="checkbox"/> ESIA (Environmental and Social Impact Assessment) <input type="checkbox"/> SESA (Strategic Environmental and Social Assessment) </td> <td data-bbox="1234 283 1326 420"></td> </tr> </tbody> </table>					<i>Is assessment required? (check if "yes")</i>			Status? (completed, planned)	<i>if yes, indicate overall type and status</i>	<input type="checkbox"/>	<input type="checkbox"/> Targeted assessment(s) <input type="checkbox"/> ESIA (Environmental and Social Impact Assessment) <input type="checkbox"/> SESA (Strategic Environmental and Social Assessment)	
<i>Is assessment required? (check if "yes")</i>			Status? (completed, planned)									
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Risk Description (broken down by event, cause, impact)	Impact and Likelihood (1-5)	Significance (Low, Moderate, Substantial, High)	Comments (optional)		Description of assessment and management measures for risks rated as Moderate, Substantial or High
<p>Are management plans required? (check if "yes")</p> <p>If yes, indicate overall type</p>					
		<input type="checkbox"/>	<input type="checkbox"/>		
			<input type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	
			<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			<input type="checkbox"/>	ESMF (Environmental and Social Management Framework)	
<p>Based on identified risks, which Principles/Project-level Standards triggered?</p>					
<p>Overarching Principle: Leave No One Behind</p>					
<p>Human Rights</p>					
<p>Gender Equality and Women's Empowerment</p>					
<p>Accountability</p>					
<p>1. Biodiversity Conservation and Sustainable Natural Resource Management</p>					
<p>2. Climate Change and Disaster Risks</p>					
<p>3. Community Health, Safety and Security</p>					
<p>4. Cultural Heritage</p>					
<p>5. Displacement and Resettlement</p>					
<p>6. Indigenous Peoples</p>					
<p>7. Labour and Working Conditions</p>					
<p>8. Pollution Prevention and Resource Efficiency</p>					
				<input type="checkbox"/>	Comments (not required)

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	Date	Description
QA Assessor: Nino Antadze E&E Team Leader	24 May 2022	UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver: Anna Chernyshova DRR	30 May 2022	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair: Nick Beresford Resident Representative	30 May 2022	UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
<p>INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.</p>		
Overarching Principle: Leave No One Behind		Answer
Human Rights		(Yes/No)
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	No
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? ¹⁵	No
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Gender Equality and Women’s Empowerment		
P.8	Have women’s groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	No
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
P.11	limitations on women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	No
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
<i>Would the project potentially involve or lead to:</i>		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	Yes
P.14	grievances or objections from potentially affected stakeholders?	No

¹⁵ Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	No
1.7	adverse impacts on soils?	No
1.8	harvesting of natural forests, plantation development, or reforestation?	No
1.9	significant agricultural production?	No
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	No
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.12	handling or utilization of genetically modified organisms/living modified organisms? ¹⁶	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ¹⁷	No
1.14	adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	Yes
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	No
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No

¹⁶ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

¹⁷ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	Yes
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7	influx of project workers to project areas?	No
3.8	engagement of security personnel to protect facilities and property or to support project activities?	No
Standard 4: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	No
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.4	alterations to landscapes and natural features with cultural significance?	No
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	risk of forced evictions? ¹⁸	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	No
6.2	activities located on lands and territories claimed by indigenous peoples?	No
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk</i>	No
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No

¹⁸ Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	No
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	No
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	No
Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
8.2	the generation of waste (both hazardous and non-hazardous)?	No
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	No
8.5	the application of pesticides that may have a negative effect on the environment or human health?	No
8.6	significant consumption of raw materials, energy, and/or water?	No

Annex 5: UNDP Risk Register

As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher).

#	Description	Risk Category	Impact & Probability	Risk Treatment / Management Measures	Risk Owner
			<p style="text-align: center;">UNDP ERM - Risk Matrix</p> <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">■ SUBSTANTIAL ■ MODERATE ■ LOW</p>		
1	Data are unavailable or inaccessible for project team	Operational	In case this risk occurs, the project implementation will be slowed down. Likelihood L=2 Impact I=3	Project will use maximum efforts through the NPD or participant Ministries and stakeholders to acquire relevant data. Expert judgments and analogue methods will be also used.	Project manager
2	Possible structural changes in the Government (change in CCC, stakeholders etc.)	Strategic/ policy	In case this risk occurs, the project implementation will be slowed down. Likelihood L=1 Impact I=3	The project team will proactively apply the adaptive management approach in focusing on promotion of the key activities among line ministries and stakeholders while sustaining the relevance with the national priorities.	Project manager
3	Prolonged validation of the project	Operational	In case this risk occurs, the project implementation will be slowed down. Likelihood L=2 Impact I=3	The project will ensure step-by-step validation of each section of the document via sending out the draft sections by the IP to the stakeholders and organizing peer-to-peer meetings to discuss results.	Project manager
4	Lack of high-level political willingness and commitment	Strategic/ policy	In case this risk occurs, the project implementation will be slowed down. L=1 I=4	Project make the process highly participatory through stakeholder consultations, using internet resources, vis-à-vis meetings, sharing data and information, outreach and marketing. High level officials will be involved in the process as well and high level international and national forums will be used for advancing CC agenda.	Project manager

#	Description	Risk Category	Impact & Probability	Risk Treatment / Management Measures	Risk Owner
5	Stakeholders are not interested in stocks taking	Organizational	In case this risk occurs, the project implementation will be slowed down L=2 I=3	Project make the process highly participatory through stakeholder consultations, using internet resources, vis-à-vis meetings, sharing data and information, outreach and marketing,	Project manager
6	Staff turnover	Operational Organizational	In case this risk occurs, the project implementation will be slowed down. L=1 I=2	Capacity strengthening activities will involve a carefully selected group of relevant experts within each ministry and agency. The PMU will also maintain a regularly updated electronic filing system with all projects related documentation to be available for new recruits in case of changes in PMU staff.	Project manager
7	Unwillingness of some private sector representatives to share data	Operational Organizational	In case this risk occurs, the project implementation will be slowed down. L=2 I=2	Establishment of formal arrangements for GHG inventory and mitigation actions data collection is supported which will ensure data provision from private sector.	Project manager
8	Unpredictable development of Covid19 pandemics	Operational	In case this risk occurs, the project implementation will be slowed down. L = 3 I = 3	To mitigate COVID-19 related risks, the project will prioritize the recruitment of national experts and local companies and apply on-line methods and tools to support information sharing, project management and virtual consultations.	Project Manager
9	Limited coordination among institutions	Organizational	In case this risk occurs, the project implementation will be slowed down. L=1 I=3	By taking into consideration of the clear roles and responsibilities, allowing institutions to participate in a transparent way while sharing regular updates on progress of the project implementation.	Environment Information and Education Centre (EIEC) Project Manager

Annex 6: Overview of Project Staff and Technical Consultancies

Consultant	Time Input	Tasks, Inputs and Outputs
For Project Management		
Local / National contracting		
<i>Project Manager</i>	36 Months	<p>In consultation with the Project Board, the Project Manager (PM) is responsible for day-to-day management and monitoring of preparation of the 5NC/1BTR project of Georgia. Furthermore, the PM will be responsible for coordination, ongoing management and monitoring of all support activities proposed under the Project, specifically:</p> <p>PM responsibilities will include the following functions:</p> <ul style="list-style-type: none"> • Planning, monitoring and ensuring timely implementation of relevant project activities as per the approved work plan; • Initiation of establishment of the PB and the other working groups needed to implement planned project activities; • Development of the scope of work and terms of reference as well as procurement documents needed for needs assessment and hiring of experts and consultants; • Identification and hiring of contractors from among national experts/institutions; • Monitoring of activities of consultants/companies hired to provide technical support to the project; • Organization of and control over project workshops, consultation processes and training programs; • Interaction with relevant ministries, national and international research institutions, non-government organizations and other agencies to involve their staff into project activities; collection and dissemination of project-related information; • Preparation of project planning and report documents, including NC/BTR Annual Status Survey and End of Project Report; • Monitoring of financial costs and ensuring proper management of allocated resources; • Reporting to project Board on ongoing project activities and advances towards the realization of project outcomes; • Monitoring of project risks and identifying corrective actions; • Present key deliverables to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.
		<p><i>Specific objectives:</i></p> <ul style="list-style-type: none"> • Defining the scope and content of the overall structure and individual sections of the 5NC/BTR1 in coordination with national authorities; • Identifying and ensuring 5NC/1BTR consistency with other ongoing/new projects. • Finalizing the 5NC/1BTR with inputs from government officials and national experts; • Ensuring compliance with the COP's UNFCCC guidelines in the course of preparation of the NC and BTR and contributing to the improved UNFCCC reporting process.
<i>Project Assistant</i>	36 months	<u>Duties and Responsibilities</u>

Consultant	Time Input	Tasks, Inputs and Outputs
<p>Rate: USD 360/Month</p>		<p>Under the guidance and supervision of the Project Manager, the Project Assistant will carry out the following tasks:</p> <ul style="list-style-type: none"> • Assist the Project Manager in day-to-day management and oversight of project activities; • Assist in the preparation of progress reports; • Provide PMU-related administrative and logistical assistance. • Assist PM in matters related to M&E and knowledge resources management; • Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PB, UNDP, project consultants and other PMU staff.
<u>For Technical Assistance</u>		
<u>Local National Contracting</u>		
<p>Climate Change Experts (4)</p> <p>Rate: USD 250/day</p>	12-16 days	<p>Provide technical advice to the elaboration of tender documentation for Request for Proposals related to the preparation of following 5NC/1BTR chapters and participate in tender evaluation committee:</p> <ul style="list-style-type: none"> • National circumstances, institutional arrangements and other information; • Constraints and gaps and related financial, technology development and transfer and capacity-building support needed and received; • NDC tracking and mitigation assessment; • Climate Change Impacts and Adaptation/Adaptation Communication.
<p>GHG Inventory Experts (15)</p> <p>Average Rate: USD 780/month</p>	10 months	<p>Preparation of the National GHG Inventory for 2018-2022 for the Energy, IPPU, AFOLU and Waste sectors including:</p> <ul style="list-style-type: none"> • Data collection, key category analysis and update of country specific emission factors (EF); • GHG emission recalculations for 1990-2017 and calculations for 2018-2022 based on updated EFs; • Inventory preparation in accordance with 2006 IPCC Guidelines, 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories and 2003 Good Practice GHG-LULUCF Guidelines, using the latest version of the GHG Inventory Software for non-Annex I countries; • Uncertainty analysis and completeness assessment; • Development Quality Assurance and Quality Control plan and implementation of QA/QC procedures; • Review and assessment of national GHG inventory system and identification of its constraints and gaps and areas of improvement; • Production of the national inventory report (NIR) including the national inventory document and common reporting tables. <p>Main Tasks:</p> <ul style="list-style-type: none"> • Development of Work plan for data gathering, processing and reporting; • Identification of the type of data for gathering;

Consultant	Time Input	Tasks, Inputs and Outputs
		<ul style="list-style-type: none"> • Identification of the new data sources if applicable; • Gathering the Activity data and other relevant parameters, including meetings with data providers; • Estimation of GHG emissions for each source-categories; • Provision of QC procedures; • Drafting the Inventory report; • Review the translated report for terminology check; • Participate in team meetings and discussions; • Development of improvement plans; • Review the comments of QA and international review and provision of feedback; • Preparation of the presentation for the sectoral GHG emission inventory results.
<p><i>Gender Expert</i></p> <p><i>Rate: USD 250/day</i></p>	<p><i>8 days</i></p>	<p>Under Direct supervision of Project Manager, Expert will be responsible for:</p> <ul style="list-style-type: none"> • Carry out a gender analysis to fully consider the different needs, roles, benefits, impacts, risks and access to/control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) given a project's context, and appropriate measures taken to address and these and promote gender equality; collect gender responsive baseline data relevant to project implementation and monitoring; identify the share of female and male direct beneficiaries. • Assist in organizing and carrying out gender responsive stakeholder consultation in order to solicit inputs and ensure both male and female stakeholder involvement and buy-in to the project. • Guide the project team in using participatory techniques that involve both women and men in assessments and discussions. • Develop a Gender Analysis and Action Plan for the project with annual outputs to facilitate implementation of activities that promote gender equality and women's empowerment. • Assist the project development team in identifying and developing partnerships with gender equality/women's governmental institutions, local women's NGOs/CSOs and relevant national stakeholders. • As requested by the project development team, assist with capacity building and other aspects of project preparation to ensure gender considerations are mainstreamed into the project.
<p><i>Compilation and Knowledge Management Experts</i></p> <p><i>Rate: USD 1,450/month</i></p>	<p><i>10 months</i></p>	<p>Under Direct supervision of Project Manager, Expert will be responsible for</p> <ul style="list-style-type: none"> • Work proactively with project team to identify opportunities for capturing and sharing knowledge, and disseminating information about major progress and results; • Ensure compilation of BTR and NC reports based on inputs received from expert teams; • Take necessary actions for preparing final reports/publications;

Consultant	Time Input	Tasks, Inputs and Outputs
		<ul style="list-style-type: none"> • Ensure preparation of various knowledge management products such as: short summaries of reports, brochure, infographics, video documentary capturing project results etc. • Develop and maintain contacts with key print and electronic media (including radio, TV, news websites and blogs) to supply them with newsworthy material about the project; • Ensure that all outreach information material to be used by the media is written in a way that concepts and issues can be readily understood by the public; • Ensure that media is informed about key workshops/seminars and project outputs;

Annex 7: Stakeholder Engagement Plan

The most effective way to address climate change, is to allow a real co-management of the issue, where all key stakeholders are involved. Key stakeholders have been identified during preparation of previous NCs and BURs.

The close collaboration and participation of wide range of stakeholders including ministries, agencies, local authorities, CSOs, scientific community, private sector, international organisations and media are critical for mainstreaming climate change considerations into national and sectoral development policies as well as for strengthening capacities and raising awareness of different stakeholders on climate change issues. Therefore, stakeholder engagement process to be adopted in all phases of project implementation will not be limited to specific groups of experts but will involve representatives of all relevant institutions, coming from a range of different backgrounds. This process is believed to ensure the ownership of the national institutions on the project outcomes and enhance inter-agency cooperation and coordination. Moreover, it will further strengthen the platform, established in NC preparation activities, for exchanging information and experiences, formulating policies, building capacities and raising awareness through a participatory and inclusive approach.

The following main stakeholders will be involved in the implementation of the project, with their respective roles during this process.

Stakeholder	Role in the project
National Climate Change Council (NCCC)	NCCC will provide high-level support and guidance for the overall climate change policies in the country. The council will follow the whole 5NC/1BTR process, thus being involved in all components, since it is in charge of progress and challenges on climate change actions and their links to other national strategies and sustainable development goals.
Ministry of Environmental Protection and Agriculture (MEPA)	MEPA is leading governmental agency related to climate change issues in Georgia and acting as the national focal point to the UNFCCC. It will provide strategic guidance, supervision and quality control to the implementation of all project activities.
Environmental Information and Education Centre (EIEC)	EIEC will serve as Executing Entity and will ensure the overall execution of the activities defined by the project, as well as ensure the efficient communication with the other stakeholders. Therefore, it will be involved in all activities foreseen by the project and will have leading role in NC/BTR works.
Ministry of Environmental Protection and Agriculture, National Environmental Agency (NEA)	National Environmental Agency will provide information on physical processes of climate change; will participate in elaboration of mitigation and appropriate adaptation measures against possible negative consequences caused by these changes.
Ministry of Environmental Protection and Agriculture, National Forestry Agency (NFA)	NFA is a main state institution responsible for forest management of the country. Its expertise will be important in work under components 2-4. The forestry experts will be involved in forestry data quality improvement and supply for the purpose of GHG projections in forestry sector, gender involvement in forestry planning and projects, stakeholder consultations and gender training, as well as setting up and reporting of mitigation and adaptation actions.
Ministry of Economy and Sustainable Development (MOESD)	Department of Energy under MOESD is in charge of energy policy of the country. Its expertise will be important in work under components 2 and 3. The energy experts will be involved in energy data quality improvement and supply for the purpose of GHG projections in energy sector, gender involvement in energy planning and projects, stakeholder consultations and gender training, as well as setting up and reporting of mitigation and adaptation actions.
Ministry of Finance (MOF)	MOF will provide information pertaining to sources of international and national financial flows specifically for climate-related projects.
National Statistics Office of Georgia (NSO)	NSO is in charge of produce the statistics and disseminate the statistical information according to the Georgian legislation. NSO will be the main partner to process and supply data for GHG inventory calculation and to

Stakeholder	Role in the project
	develop gender database. The statistics experts will be involved in data quality improvement and data processing for GHG inventory calculation, gender data gathering, as well as stakeholder consultations and gender training.
Ministry of Regional Development and Infrastructure of Georgia (MRDI), LTD Solid Waste Management Company	Solid Waste Management Company of Georgia is in charge of build up a new, modern waste management system following the regional approach. Its expertise will be important in work under components 2 and 3. The waste experts will be involved in waste data quality improvement and supply for the purpose of GHG projections in waste sector, gender involvement in waste planning and projects, stakeholder consultations and gender training, as well as setting up and reporting of mitigation and adaptation actions.
Private sector	Data providers for GHG Inventory, e.g. Industrial Processes and Product Use (IPPU), as well as on technology transfer and financial needs.
Non-profit think tank "World Experience Georgia"	Will be involved in preparation GHG inventory chapter and National GHG inventory report.
Non-Profit Legal Entity „Georgia’s Environmental Outlook “	Will be involved in the preparation of Constraints and gaps chapter.
NGO "Greens movement of Georgia/Friends of Earth", National Association of Local Authorities of Georgia, "Regional Environmental Center Caucasus"	Provide relevant information on challenges faced to mainstream a gender perspective and youth in mitigation and adaptation actions related to climate change. Participation in workshops and communicate findings from the project to the broader public.
Universities, research institutions	Participation in workshops and communicate findings from the project to the research community and to students.

A preliminary Stakeholder engagement plan envisage the following meetings:

- Inception workshop to discuss conceptual framework and design for each chapter and to highlight any prevailing challenges to data acquisition and sharing, monitoring assessment and reporting;
- Validation workshops to discuss results and validate accuracy of the analyses;
- Individual meetings with sector representatives;
- Group discussions to solicit ideas, create synergies and opportunities for networking, knowledge sharing and joint actions;
- Final dissemination workshop to discuss findings, raise awareness and reinforce collaboration and networking.

Once the SNC/BTR is completed, it will be posted on the MEPA website <https://mepa.gov.ge>, and all stakeholders, including NGOs will be able to evaluate them, make suggestions and recommendations.

Stakeholder engagement plan will include measures in order to manage risks that the Covid-19 pandemic and the possible reinstatement of containment measures pose on the mobility and engagement of both project staff and stakeholders. Project will employ videoconferencing equipment/tools for virtual meetings and workshops, revise work plan, apply social distancing and provide personal protective equipment to prevent exposure among project staff, stakeholders and participants as and when necessary.

The impact of the Covid-19 on the project progress will be closely monitored and the adaptive management will be used to minimise, and address impacts it may have on the availability of technical expertise, capacity and changes in timelines. Project will focus on strengthening capacity and experience for remote work and online interactions as well as limited remote data and information access.

Annex 8: Gender Analysis and Gender Action Plan

When analyzing interrelations between gender equality and climate change, it is important to look at the national policies for gender equality and sectorial policies (energy, transport, agriculture, waste management, financing of businesses, disaster risk reduction, etc.) to assess which policies are gender-sensitive and include considerations regarding vulnerable social groups. It is also important to understand how climate actions can contribute to gender equality. i.e. to consider responsiveness of mitigation and adaptation policies.

Georgia considers gender equality, a fundamental principle of the United Nations Charter, as a precondition for advancing development and reducing poverty. The Constitution of Georgia upholds the principle of equal rights for men and women in article 14. Georgia ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) in 1994, and the Optional Protocol to CEDAW in 2002. The country is a member of the Council of Europe and ratified the European Convention on Human Rights in 1999.

“The Generation Equality Forum” in Paris announced gender equality commitments and launch of a global 5-year action journey to accelerate gender equality by 2026. Georgia joined the global movement and made new commitments to strengthen gender equality. At the event on 29 June 2021 in Tbilisi, initiated by the Embassy of France, UN Women - Georgia and the United Nations Population Fund in Georgia, it was officially announced that the Government of Georgia will facilitate the implementation of new commitments in two thematic areas, strengthening efforts to combat gender-based violence and support the increased participation of women in technology and innovation.

The National Association of Local Authorities of Georgia in frames of funded by the US Agency for International Development (USAID) project “Institutionalization of Climate Change Adaptation and Mitigation in Georgian Regions” among others considered gender related issues. According to this project, more women live below the poverty line at the national level than men. Due to their socio-economic situation and their physiology, women below the poverty line are more vulnerable than men towards different exposures of climate change, such as extreme temperatures and more frequent natural disasters. In general project concluded that understanding of gender related issues in Georgia’s municipalities is very low.

Gender Action Plan

Objective	Baseline	Targets	Actions	Indicators	Responsible Institutions
5NC/1BTR Project Document preparation stage					
Integration of gender aspects in the 5NC/1BTR Project Document.	Lack of gender disaggregated data and analysis in the previous NCs and BURs. The approved Funding proposal includes the gender related requirements (GRRs) for the Georgia’s 5NC/1BTR.	The signed Project Document incorporates the appropriate gender issues.	Study of UN tools and methodologies on gender equality. Review of country-based analytical and statistical reports on gender related issues. Analysis of availability and reliability of gender disaggregated data on climate change. Identification of main gender gaps to be tackled.	A section on “Gender equality and empowering women” in the Project Document. The Project Results Framework includes gender-responsive indicators and outputs.	Ministry of Environment Protection and Agriculture in collaboration with UNDP CO.
Inception Workshop to initiate work on the development of 5NC/1BTR					
Familiarization of stakeholders with the GRRs of the 5NC/1BTR	The draft Gender Action Plan provided in the Project Document. The requirement to finalise the draft Gender Action Plan during the Inception phase.	Gender Action Plan is finalised based on the GRRs.	Identify and agree on GRRs for the 5NC/1BTR based on country specific gender analysis Present and discuss with the stakeholders the GRRs. Identify main actions to cover the identified gender gaps.	The Gender Action Plan developed and presented to stakeholders.	Project team in close cooperation with key national stakeholders.

Objective	Baseline	Targets	Actions	Indicators	Responsible Institutions
Preparation of the Georgia's SNC/1BTR					
Gender dimension is fully considered in project components and reported in corresponding chapters of the SNC/1BTR	<p>Gender issues related to the climate change in Georgia are not well assessed and identified.</p> <p>Adaptation and mitigation planning does not consider gender dimensions.</p> <p>There is a lack of information on gender differentiated benefits from adaptation and mitigation actions in key sectors.</p>	Gender Action Plan served as a basis for considering gender aspects in preparation of the SNC/1BTR.	<p>Collect and analyse the existing gender statistics and to date research on gender issues in the climate change related areas.</p> <p>Analyse gender dimensions of various human activity fields being affected by/or contributing to climate change.</p> <p>Highlight constraints, gaps and needs from the SNC/1BTR gender analysis/reporting viewpoint.</p> <p>Ensure gender equal participatory process in co-design of baseline and mitigation scenarios.</p> <p>Develop proposals to address constraints in meeting the GRRs.</p>	<p>Number of workshops / roundtable discussions on gender issues.</p> <p>Number of gender related reports developed.</p> <p>Percentage of GRRs covered by the project.</p> <p>Percentage of women participating in the Project events.</p>	Project team in close cooperation with key national stakeholders.

More detailed Gender Analysis and Action Plan will be developed during inception phase.

Annex 9: Procurement Plan

General description	Contracting method	Advertisement Date	Type of Assignment	VALUE (USD)	COMMENT
Contractual service-Companies: Preparation of National Circumstances and institutional arrangement chapter of 5NC/1BTR (Component 1)	RFP - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/Y1	National	27,350	Start Date Q3/Y1 – End Date Q4/Y3
Contractual service-Companies: Information on financial, technology development and transfer and capacity-building support needed and received chapter of 5NC/1BTR (Component 1)	RFP - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/Y1	National	31,000	Start Date Q3/Y1 – End Date Q4/Y3
Individual Consultants: GHG Inventory chapter of 5NC/1BTR (Component 2)	IC - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/Y1	National	117,000	Start Date Q3/Y1 – End Date Q4/Y3
Purchase of laptop and printer (Component 2)	Micro purchasing - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/ Y1	National	2,000	Q2/Y1
Training, Workshop, conference procurement (Component 2,5)	RFQ - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/Y1	National	16,000	Start Date Q3/Y1 – End Date Q4/Y3
Contractual service-Companies: information necessary to track progress in implementing and achieving NDC (Component 3)	RFP - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/Y1	National	68,400	Start Date Q3/Y1 – End Date Q4/Y3
Contractual service-Companies: Mitigation policies and measures and projections of GHG emissions up to 2040 (Component 3)	RFP - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/Y1	National	48,000	Start Date Q3/Y1 – End Date Q4/Y3
Individual Consultants: Elaborate tender documentation, TORs, participate in tender evaluation committee (Component 1,3)	IC - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/Y1	National	5,500	Start Date Q3/Y1 – End Date Q4/Y1
Contractual service-Companies: : Climate change vulnerability assessment updated and progress of adaptation measures (Component 4).	RFP - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q4/Y1	National	122,000	Start Date Q4/Y1 – End Date Q4/Y3

General description	Contracting method	Advertisement Date	Type of Assignment	VALUE (USD)	COMMENT
Individual Consultant: Gender Expert to prepare the Gender Analysis and Action Plan	IC - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/Y1	National	2,000	Q3/Y1
Individual Consultants: Compilation and submission of the SNC/1BTR (Component 5)	IC - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q2/Y3	National	25,750	Q3/Y3 – Q4/Y3
Printing of SNC/1BTR	RFQ - Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/Y3	National	5,000	Q3/Y3
Service contracts for full time Project Manager and Project Assistant	IC -Procurement by Executive Entity (EIEC) according to state procurement regulations	Q3/Y1	National	43,560	Start Date Q3/Y1 – End Date Q2/Y4
Audit costs	UNDP LTA	Q4/Y1		3,440	Start Date Q4/Y1 – End Date Q1/Y4
				517,000	

Annex 10: GEF 7 Taxonomy

Level 1	Level 2	Level 3	Level 4
<input checked="" type="checkbox"/> Stakeholders	<input checked="" type="checkbox"/> Beneficiaries		
	<input checked="" type="checkbox"/> Civil Society		
		<input type="checkbox"/> Community Based Organization	
		<input checked="" type="checkbox"/> Non-Governmental Organization	
		<input checked="" type="checkbox"/> Academia	
		<input checked="" type="checkbox"/> Trade Unions and Workers Unions	
	<input checked="" type="checkbox"/> Type of Engagement		
		<input checked="" type="checkbox"/> Information Dissemination	
		<input checked="" type="checkbox"/> Partnership	
		<input checked="" type="checkbox"/> Consultation	
		<input checked="" type="checkbox"/> Participation	
	<input checked="" type="checkbox"/> Communications		
		<input checked="" type="checkbox"/> Awareness Raising	
<input checked="" type="checkbox"/> Capacity, Knowledge and Research			
	<input checked="" type="checkbox"/> Enabling Activities		
	<input checked="" type="checkbox"/> Capacity Development		
	<input checked="" type="checkbox"/> Knowledge Generation and Exchange		
<input checked="" type="checkbox"/> Gender Equality			
	<input checked="" type="checkbox"/> Gender Mainstreaming		
		<input checked="" type="checkbox"/> Beneficiaries	
		<input checked="" type="checkbox"/> Gender-sensitive indicators	
	<input checked="" type="checkbox"/> Gender results areas		
<input checked="" type="checkbox"/> Focal Areas/Theme			
	<input checked="" type="checkbox"/> Climate Change		
		<input checked="" type="checkbox"/> Climate Change Adaptation	
			<input checked="" type="checkbox"/> Climate information
		<input checked="" type="checkbox"/> Climate Change Mitigation	
			<input checked="" type="checkbox"/> Enabling Activities
		<input checked="" type="checkbox"/> United Nations Framework on Climate Change	

Annex 11: Implementing Partner's HACT assessment and Capacity Assessment Tool

HACT Assessment: Environmental Information and Education Centre (EIEC)

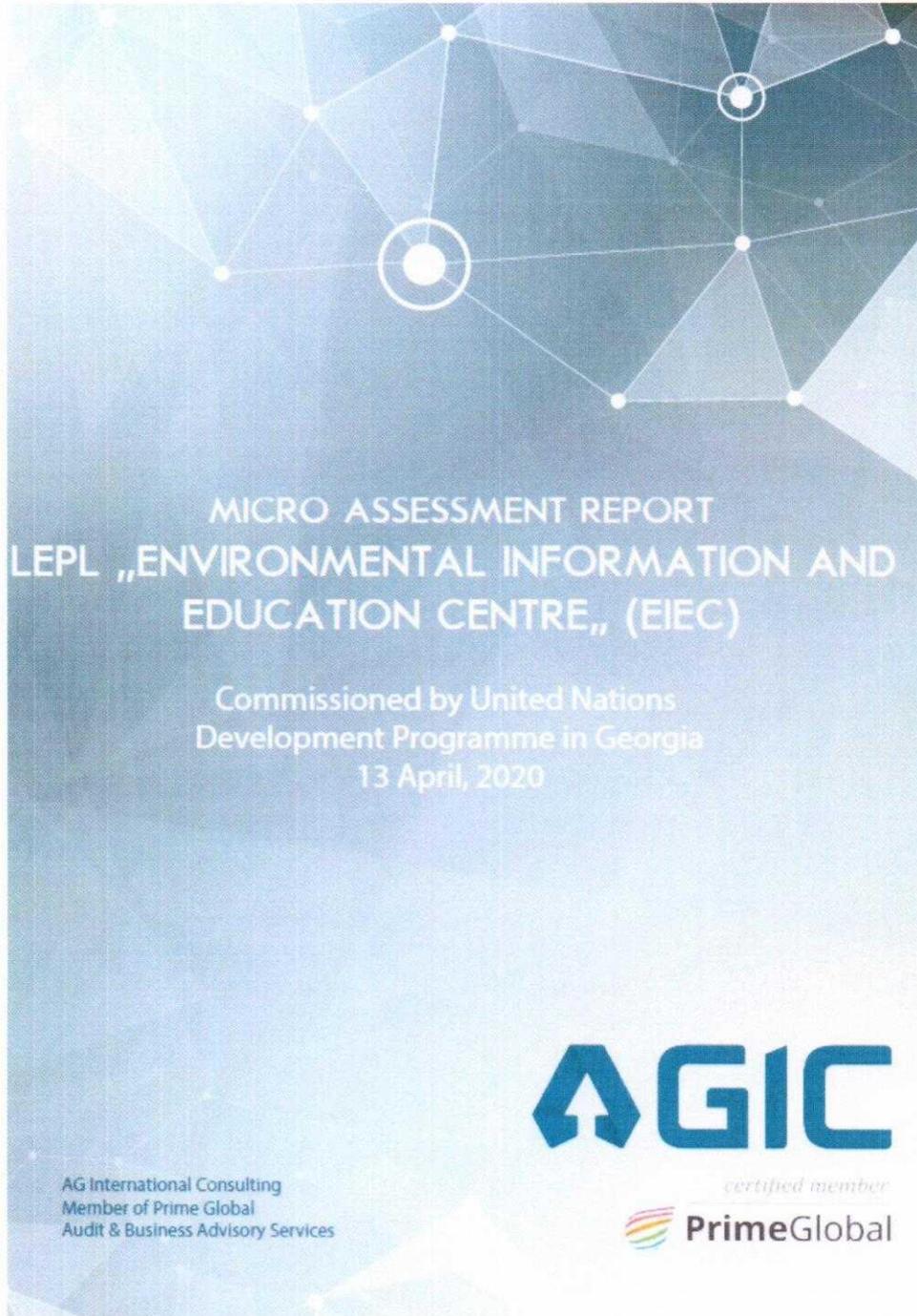
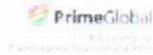


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1. Background, Scope and Methodology

Background

The micro assessment is part of the requirements under the Harmonized Approach to Cash Transfers (HACT) Framework. The HACT framework represents a common operational framework for UN agencies' transfer of cash to government and non-governmental implementing partners.

The micro-assessment assesses the IP's control framework. It results in a risk rating (low, moderate, significant or high). The overall risk rating is used by the UN agencies, along with other available information (e.g. history of engagement with the agency and previous assurance results), to determine the type and frequency of assurance activities as per each agency's guideline and can be taken into consideration when selecting the appropriate cash transfer modality for an IP.

Scope

The micro-assessment provides an overall assessment of the Implementing Partner's programme, financial and operations management policies, procedures, systems and internal controls. It includes:

- A review of the IP legal status, governance structures and financial viability; programme management, organizational structure and staffing, accounting policies and procedures, fixed assets and inventory, financial reporting and monitoring, and procurement;
- A focus on compliance with policies, procedures, regulations and institutional arrangements that are issued both by the Government and the Implementing Partner.

It takes into account results of any previous micro assessments conducted of the Implementing Partner.



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2. Summary of Risk Assessment Results

The table below summarizes the results and main internal control gaps found during application of the micro-assessment questionnaire (in Annex IV). Detailed findings and recommendations are set out in section 3. below:

Tested subject area	Risk assessment*	Brief justification for rating (main internal control gaps)
1. Implementing partner	Low	
2. Programme Management	Moderate	
3. Organizational structure and staffing	Low	
4. Accounting policies and procedures	Low	
5. Fixed Assets and Inventory	Low	
6. Financial Reporting and Monitoring	Moderate	
7. Procurement	Low	
Overall Risk Assessment	Low	

*High, Significant, Moderate, Low



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3. Detailed Internal Control Findings and Recommendations

No.	Description of Finding	Recommendation
1	The IP doesn't have formalized procedures and manuals (financial management, grants management, HR, and etc.).	<i>We recommend to elaborate manuals (Financial management, grants management, HR, and etc.) and fit to existing procedures in the organization.</i>
2	Organization prepares specific financial reports which is required by Government regulations and it used to analyze the budget and actual costs. However, there is no a practice for preparation financial reports in accordance with International Financial Reporting Standards, which will be valuable and efficient tool for the management and external users to analyze the overall financial position of the Organization	<i>We recommend to integrate a practice of preparation financial statements in accordance with International Financial Reporting Standards, which is also valuable and efficient tool for management and external users and provides with opportunity for the assessment of Organization's financial performance.</i>
3	The Organization has not developed accounting policy, which may cause some difficulties in the accounting. These problems may concern one and the same transaction recorded and presented in different ways, as well as uncertainties in reporting and presentation of operations not specific for the Organization.	<i>In accordance with the IFRS the Organization should develop accounting policy and apply regulations elaborated while making accounting records and preparing financial statements complying IFRS. In case of lack of appropriate International Financial Reporting Standard, the Organization should elaborate the mentioned section of the accounting policy itself, which will provide the user with the most important information regarding financial statement of the Organization.</i>

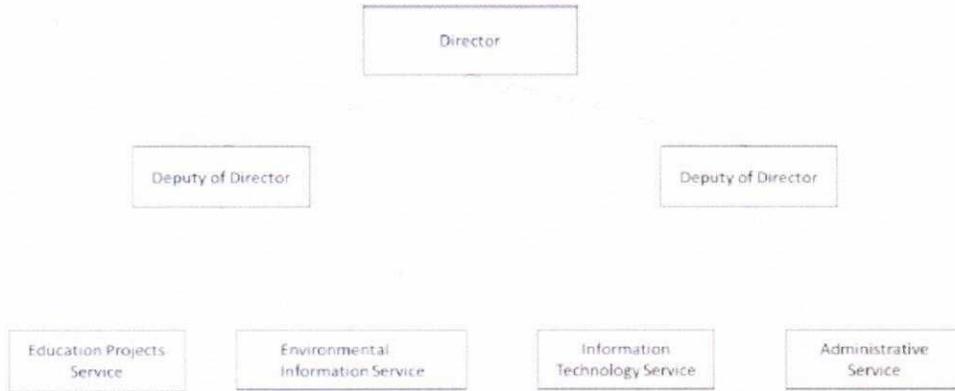


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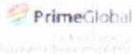
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Annex II. Implementing Partner Organizational Chart



Annex III. List of Persons Met

Name	Unit/organization	Position
Ana Cholokava	LEPL „Environmental Information and Education Centre „ (EIEC)	Head of Administrative Service



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Annex IV. Micro Assessment Questionnaire

Subject area (key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
1. Implementing Partner						
1.1 Is the IP legally registered? If so, is it in compliance with registration requirements? Please note the legal status and date of registration of the entity.	Yes			Low	1	IP is legally Registered according to Georgian legislation as a Legal Entity of Public Law organization at 14/05/2013 Tax ID: 206351730
1.2 If the IP received United Nations resources in the past, were significant issues reported in managing the resources, including from previous assurance activities.	Yes			Low	1	
1.3 Does the IP have statutory reporting requirements? If so, are they in compliance with such requirements in the prior three fiscal years?	Yes			Low	1	IP is required to present financial statements to the Ministry of Environment and Agriculture of Georgia and to the Donor Organization
1.4 Does the governing body meet on a regular basis and perform oversight functions?	Yes			Low	1	
1.6 If any other offices/external entities participate in implementation, does the IP have policies and process to ensure appropriate oversight and monitoring of implementation?			N/A	N/A	-	IP does not have any offices or external entities
1.8 Does the IP show basic financial stability in-country (poor resource, funding trend). Provide the amount of total assets, total liabilities, income and expenditure for the current and prior three fiscal years.	Yes			Low	1	The revenues for last 3 years: 2017Y - 2 375 921 GEL 2018Y - 2 173 408 GEL 2019Y - 5 583 110 GEL
1.7 Can the IP easily receive funds? Have there been any major problems in the past in the receipt of funds, particularly where the funds flow from government ministries?	Yes			Low	1	
1.8 Does the IP have any pending legal actions against it or outstanding material/significant disputes with vendors/contractors? If so, provide details and actions taken by the IP to resolve the legal action.	Yes			Significant	3	IP has one current dispute with a former employee, who was reduced because of personnel reduction.
1.9 Does the IP have an anti-fraud and corruption policy?		No		Significant	3	IP does not have any formalized policy against fraud and corruption.
1.10 Has the IP advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property? If so, does the IP have a policy against retaliation relating to such reporting?	Yes			Moderate	2	Employees should report about fraud, waste or misuse of agency to head of department. IP does not have any formalized policies
1.11 Does the IP have any key financial or operational risks that are not covered by this questionnaire? If so, please describe. Examples: foreign exchange risk, cash receipts.		No		Low	1	
Total number of questions in subject area:	11					
Total number of applicable questions in subject area:	10					
Total number of applicable key questions in subject area:	4					
Total number of risk points:	16					
Risk score:	1.6					
Area risk rating:	Low					



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Subject area (key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/Comments
2 Programme Management						
2.1 Does the IP have and use sufficiently detailed written policies, procedures and other tools (e.g. project development checklist, work planning templates, work planning schedule) to develop programmes and plans?		No		Significant	3	Process is not formalized
2.2 Do work plans specify expected results and the activities to be carried out to achieve results, with a time frame and budget for the activities?	Yes			Low	1	
2.3 Does the IP identify the potential risks for programme delivery and mechanisms to mitigate them?	Yes			Significant	3	IP identifies the potential risks, but the process is not formalized
2.4 Does the IP have and use sufficiently detailed policies, procedures, guidelines and other tools (checklists, templates) for monitoring and evaluation?		No		Significant	3	Process is not formalized
2.5 Does the IP have M&E frameworks for its programmes, with indicators, baselines, and targets to monitor achievement of programme results? *		No		Moderate	2	IP monitors the achievements of programme, but the process is not formalized
2.6 Does the IP carry out and document regular monitoring activities such as review meetings, on-site project visits, etc.	Yes			Moderate	4	
2.7 Does the IP systematically collect, monitor and evaluate data on the achievement of project results?	Yes			Moderate	2	Process is not formalized
2.8 Is it evident that the IP followed up on independent evaluation recommendations? *		No		Significant	3	State audit office of Georgia has conducted Compliance audit for the period 31.12.2018 and issued the disclaimer opinion.
Total number of questions in subject area:	8					
Total number of applicable questions in subject area:	8					
Total number of applicable key questions in subject area:	2					
Total number of risk points:	21					
Risk score	2.626					
Area risk rating	Moderate rate					



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Subject area (key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
3 Organizational Structure and Staffing						
3.1 Are the IP's recruitment, employment and personnel practices clearly defined and followed, and do they embrace transparency and competition?	Yes			Low	1	
3.2 Does the IP have clearly defined job descriptions?	Yes			Low	1	
3.3 Is the organizational structure of the finance and programme management departments, and competency of staff, appropriate for the complexity of the IP and the scale of activities? Identify the key staff, including job titles, responsibilities, educational backgrounds and professional experience.	Yes			Low	1	
3.4 Is the IP's accounting/finance function staffed adequately to ensure sufficient controls are in place to manage agency funds?	Yes			Low	1	
3.5 Does the IP have training policies for accounting/finance/programme management staff? Are necessary training activities undertaken?	Yes			Moderate	2	
3.6 Does the IP perform background verification/checks on all new accounting/finance and management positions?	Yes			Low	1	IP is regulated by the Resolution of the Government of Georgia on the rules of competition in public service.
3.7 Has there been significant turnover in key finance positions the past five years? If so, has the rate improved or worsened and appears to be a problem?		No		Low	1	
3.8 Does the IP have a documented internal control framework? Is this framework distributed and made available to staff and updated periodically? If so, please describe.	Yes			Moderate	2	
Total number of questions in subject area:	8					
Total number of applicable questions in subject area:	8					
Total number of applicable key questions in subject area:	5					
Total number of risk points:	10					
Risk score:	1.26					
Area risk rating:	Low					



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Tbilisi, Georgia 01000

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Subject area (Key questions in bold>	Yes	No	N/A	Risk Assessment	Risk points	Remarks/Comments
4. Accounting Policies and Procedures						
4a. General						
4.1 Does the IP have an accounting system that allows for proper recording of financial transactions from United Nations agencies, including allocation of expenditures in accordance with the respective components, disbursement categories and sources of funds?	Yes			Low	1	IP uses Treasury software and MS Excel for reporting
4.2 Does the IP have an appropriate cost allocation methodology that ensures accurate cost allocations to the various funding sources in accordance with established agreements?	Yes			Moderate	4	Process is not formalized
4.3 Are all accounting and supporting documents retained in an organized system that allows authorized users easy access?	Yes			Low	1	
4.4 Are the general ledger and subsidiary ledgers reconciled at least monthly? Are explanations provided for significant reconciling items?	Yes			Low	1	
4b. Segregation of duties						
4.6 Are the following functional responsibilities performed by different units or individuals: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction?	Yes			Moderate	4	Process is not formalized
4.8 Are the functions of ordering, receiving, accounting for and paying for goods and services appropriately segregated?	Yes			Moderate	4	Process is not formalized
4.7 Are bank reconciliations prepared by individuals other than those who make or approve payments?	Yes			Low	1	
4c. Budgeting system						
4.9 Are budgets prepared for all activities in sufficient detail to provide a meaningful tool for monitoring subsequent performance?	Yes			Low	1	
4.9 Are actual expenditures compared to the budget with reasonable frequency? Are explanations required for significant variations from the budget?	Yes			Low	1	
4.10 Is prior approval sought for budget amendments in a timely way?	Yes			Low	1	
4.11 Are IP budgets approved formally at an appropriate level?	Yes			Low	1	



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Subject area (Key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
4. Accounting Policies and Procedures						
4a. Payments						
4.12 Do Invoice processing procedures provide for: - Copies of purchase orders and receiving reports to be obtained directly from issuing departments? - Comparison of invoice quantities, prices and terms with those indicated on the purchase order and with records of goods/services actually received? - Checking the accuracy of calculations?	Yes			Low	1	
4.13 Are payments authorized at an appropriate level? Does the IP have a table of payment approval thresholds?	Yes			Low	1	IP uses treasury software with several authorization requirements for each payment
4.14 Are all invoices stamped 'PAID', approved, and marked with the project code and account code?		No		Moderate	4	
4.15 Do controls exist for preparation and approval of payroll expenditures? Are payroll changes properly authorized?		No		Low	1	IP uses timesheet
4.16 Do controls exist to ensure that direct staff salary costs reflects the actual amount of staff time spent on a project?		No		Low	1	IP has fixed salary and also remuneration under the projects. The monthly salaries are calculated by timesheets
4.17 Do controls exist for expense categories that do not originate from invoice payments, such as O&As, travel, and internal cost allocations?	Yes			Low	1	
4b. Policies and procedures						
4.18 Does the IP have a stated basis of accounting (i.e. cash or accrual) and does it allow for compliance with the agency's requirement?	Yes			Low	1	IP uses accrual method
4.19 Does the IP have an adequate policies and procedures manual and is it distributed to relevant staff?	Yes			Low	1	Related policies and procedures are stated by the government of Georgia - Law of Georgia on Public Service - Labor Code - Resolution of the Government of Georgia on the rules of competition in public service



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 2020-2021

საერთაშორისო აკონტინგინგის კომპანია
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Subject area (Key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
4. Accounting Policies and Procedures						
4f. Cash and bank						
4.20 Does the IP require dual signatories / authorization for bank transactions? Are new signatories approved at an appropriate level and timely updates made when signatories depart?	Yes			LOW	1	IP uses Treasury software, submits order about transaction that will be authorized/approved by related treasury departments
4.21 Does the IP maintain an adequate, up-to-date cashbook, recording receipts and payments?			N/A	N/A	-	IP doesn't use petty cash
4.22 If the partner is participating in micro-finance advances, do controls exist for the collection, timely deposit and recording of receipts at each collection location?			N/A	N/A	-	
4.23 Are bank balances and cash ledger reconciled monthly and properly approved? Are explanations provided for significant, unusual and aged reconciling items?			N/A	N/A	-	
4.24 Is substantial expenditure paid in cash? If so, does the IP have adequate controls over cash payments?			N/A	N/A	-	
4.25 Does the IP carry out a regular petty cash reconciliation?			N/A	N/A	-	
4.26 Are cash and cheques maintained in a secure location with restricted access? Are bank accounts protected with appropriate remote access controls?			N/A	N/A	-	
4.27 Are there adequate controls over submission of electronic payment files that ensure no unauthorized amendments once payments are approved and files are transmitted over secure, encrypted, networks?	Yes			LOW	1	
4g. Other offices or entities						
4.28 Does the IP have a process to ensure expenditures of subsidiary offices/ external entities are in compliance with the work plan and/or contractual agreement?			N/A	N/A	-	



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Subject area (key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
5. Fixed Assets and Inventory						
5a. Safeguards over assets						
5.1 Is there a system of adequate safeguards to protect assets from fraud, waste and abuse?	Yes			Low	1	
5.2 Are subsidiary records of fixed assets and inventory kept up to date and reconciled with control accounts?	Yes			Low	1	
5.3 Are there periodic physical verification and/or count of fixed assets and inventory? If so, please describe?	Yes			Low	1	Annually
5.4 Are fixed assets and inventory adequately covered by insurance policies?	Yes			Low	1	vehicles are insured
5b. Warehousing and inventory management						
5.6 Do warehouse facilities have adequate physical security?			N/A	N/A	-	The IP does not have a substantial amount of inventory and therefore do not need a warehouse
5.5 Is inventory stored so that it is identifiable, protected from damage, and countable?			N/A	N/A	-	
5.7 Does the IP have an inventory management system that enables monitoring of supply distribution?			N/A	N/A	-	
5.8 Is responsibility for receiving and issuing inventory segregated from that for updating the inventory records?	Yes			Moderate	2	Process is not formalized
5.9 Are regular physical counts of inventory carried out?	Yes			Low	1	
Total number of questions in subject area:	8					
Total number of applicable questions in subject area:	6					
Total number of applicable key questions in subject area:	0					
Total number of risk points:	7					
Risk score	1.167					
Area risk rating	Low					



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Subject area (Key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/Comments
6. Financial Reporting and Monitoring						
6.1 Does the IP have established financial reporting procedures that specify what reports are to be prepared, the source system for key reports, the frequency of preparation, what they are to contain and how they are to be used?	Yes			Low	1	IP is required to present financial statements to the Ministry of Environment and Agriculture of Georgia and to the Donor organization
6.2 Does the IP prepare overall financial statements?	Yes			Moderate	2	IP prepare reports for the government following the rules that are stated in related guidelines
6.3 Are the IP's overall financial statements audited regularly by an independent auditor in accordance with appropriate national or international auditing standards? If so, please describe the auditor.	Yes			Moderate	4	State audit office of Georgia has conducted Compliance audit for the period 31.12.2018 and issued the disclaimer opinion.
6.4 Were there any major issues related to ineligible expenditure involving donor funds reported in the audit reports of the IP over the past three years?	Yes			High	8	State audit office of Georgia has conducted Compliance audit for the period 31.12.2018 and issued the disclaimer opinion.
6.5 Have any significant recommendations made by auditors in the prior five audit reports and/or management letters over the past five years and have not yet been implemented?	Yes			High	4	State audit office of Georgia has conducted Compliance audit for the period 31.12.2018 and issued the disclaimer opinion.
6.6 Is the financial management system computerized?	Yes			Low	1	
6.7 Can the computerized financial management system produce the necessary financial reports?		No		Moderate	2	IP uses treasury software that has limited functions for producing reports
6.8 Does the IP have appropriate safeguards to ensure the confidentiality, integrity and availability of the financial data? (E.g. passwords, access controls, regular data backup)	Yes			Moderate	2	Process is not formalized
Total number of questions in subject area:	8					
Total number of applicable questions in subject area:	8					
Total number of applicable key questions in subject area:	5					
Total number of risk points:	24					
Risk score	3					
Area risk rating	Moderate					



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Subject area (Key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
7. Procurement and Contract Administration						
7a. Procurement						
7.1 Does the IP have written procurement policies and procedures?	Yes			Low	1	Procurement policy is based on the regulations of the State Procurement Law where IP has to announce a tender electronically on procurement.gov.ge
7.2 Are exceptions to procurement procedures approved by management and documented?			N/A	N/A	-	Regulated by procurement law. Exceptions has not occurred
7.3 Does the IP have a computerized procurement system with adequate access control and segregation of duties between entering purchase orders, approvals and receiving of goods? Provide a description of the procurement system.	Yes			Low	1	IP follows the procurement system, which is developed by State Procurement Agency and represents a sufficient tool for maintaining necessary reports, selection of supplier and tracking past performance.
7.4 Are procurement reports generated and reviewed regularly? Describe reports generated, frequency and review & approvals.	Yes			Moderate	2	Process is not formalized
7.5 Does the IP have a structured procurement unit with defined reporting lines that foster efficiency and accountability?	Yes			Low	1	IP has the Procurement Coordinator
7.6 Is the IP's procurement unit resourced with qualified staff who are trained and certified and considered experts in procurement and consistent with UN / World Bank / European Union procurement requirements in addition to the IP's procurement rules and regulations?	Yes			Moderate	2	
7.7 Have any significant recommendations related to procurement made by auditors in the prior five audit reports and/or management letters over the past five years and have not yet been implemented?	Yes			Significant	3	
7.8 Does the IP require written or system authorizations for purchases? If so, evaluate if the authorization thresholds are appropriate?	Yes			Low	1	
7.9 Do the procurement procedures and templates of contracts integrate references to ethical procurement principles and exclusion and ineligibility criteria?	Yes			Low	1	
7.10 Does the IP obtain sufficient approvals before signing a contract?	Yes			Low	1	
7.11 Does the IP have and apply formal guidelines and procedures to assist in identifying, monitoring and dealing with potential conflicts of interest with potential suppliers/procurement agents? If so, how does the IP proceed in cases of conflict of interest?	Yes			Moderate	2	Not formalized
7.12 Does the IP follow a well-defined process for sourcing suppliers? Do formal procurement methods include wide broadcasting of procurement opportunities?	Yes			Low	1	
7.13 Does the IP keep track of past performance of suppliers? E.g. database of trusted suppliers.	No			Moderate	2	
7.14 Does the IP follow a well-defined process to ensure a secure and transparent bid and evaluation process? If so, describe the process.	Yes			Low	1	Tender N: NAT00000532
7.15 When a formal invitation to bid has been issued, does the IP award the contract on a pre-defined basis set out in the solicitation documentation taking into account technical responsiveness and price?	Yes			Low	1	
7.16 If the IP is managing major contracts, does the IP have a policy on contracts management / administration?	Yes			Moderate	2	IP is managing major contracts, but the procedure is not formalized

Partner Capacity Assessment Tool - Environmental Information and Education Centre (EIEC)

Partner Capacity Assessment Tool - Step 2: Pre-Requirements for Partnering - applicable to all Partners					
Responsibility & Timing: The Project Developer should complete this 'Pre-Requirements for Partnering' section for all UNDP partners, regardless of whether they are IP, RP, Other Partners or grant recipients. Engage in Partners that are inconsistent with UNDP's social & environmental standards and code of ethics.					
Background Information: Enter this information here and it will be carried throughout the PCA - no need to enter it again					
CEE/CIS Georgia Programme Start: 1-Jul-22 Programme End: 30-Jun-25 Partner Name: Environmental Partner budget for this Project: \$17,000					
UNEP Risk Category	Risk being addressed	D, S, P Pre-Requirements for Partnering Questions	What to review to determine your response	Response	Action Required
Regulatory (S, 3, FRR)	Violation of UN sanctions	1. Is the organization listed on the Consolidated United Nations Security Council Sanctions List, the UNDP vendor sanctions list or the UN Global Marketplace Ineligibility List?	<ul style="list-style-type: none"> UN Sanctions List UNDP Vendor Sanctions List UN Global Marketplace Ineligibility List Sanctions on UNDP Buyer Beware 	No	Continue to Question 2
Strategic (7, 5 Code of conduct & principles and Environmental 1.1-1.12)	Violation of Strategic (7, 5 Code of conduct & principles and Environmental 1.1-1.12)	2. Is there any credible evidence that the organization perpetually commits acts that violate (i) UNDP's social and environmental standards (human rights, gender equality, labor conditions, environmental sustainability standards), or (ii) code of conduct/ethics standards to such an extent that UNDP's association with the organization cannot be adequately managed or justified?	<ul style="list-style-type: none"> Internet press search Donor evaluations, assessments Significant criticism from donors, COO, media/social media or other significant partners of UNDP locally or globally Significant criticism from governmental agencies / political parties that makes UNDP's partnering politically sensitive Recurring local or global public events against the organization (e.g. local demonstrations, online protests, etc) Relevant legal case in progress in court etc. 	No adverse found	Comments
Strategic (7, 6 Public opinion & media)	Damage to UNDP's reputation	3. Has an internet/donor evaluation report revealed any credible and significant adverse publicity about the organization that could damage UNDP's reputation to such an extent that the association cannot be adequately managed or justified?		No adverse publicity found	
Regulatory (S, 3, FRR)	Absence of neutrality	4. If the Partner is a CSO/NGO or private sector organization, is there any credible evidence that the organization has political affiliations that could compromise UNDP's neutrality, perceived or actual, in a way that cannot be adequately managed and justified?		No relevant concern found	
Financial (2, 3 Corruption & Fraud), Strategic (7, 5 Code of Conduct & Ethics)	Fraud, corruption and potential damage to UNDP's reputation	5. If there is a history of fraud and/or any potential conflicts of interest (CoI) in relation to this organization, have they been reviewed and satisfactorily resolved or if not, can they be adequately managed or justified in the context of this specific project? (Consider such as issues as the organization employing any individual/s who is/are currently holding any position in UNDP or the UN/GE any individual/s who is/are related by blood or affinity to any UNDP or UN staff member.)	<ul style="list-style-type: none"> Internet press search on fraud issues Donor evaluations or assessments for fraud issues Discussions and/or documents and/or written confirmation from the Partner discussing conflicts of interest or such relationships 	No evidence of fraud or conflicts found	
Conclusion on Pre-Requirements for Partnering & Next Steps					

Capacity Assessment Scores

Partner Capacity Assessment Tool - Step 2: Capacity Assessment Scoping - applicable to all Partners	
<p>Purpose: This 'Capacity Assessment Scoping' tool is designed to assist you in identifying the Partner capacity assessments that will help manage risks stemming from UNDP's engagement with IPs, RPs or Other partners. It will lead you through a series of questions and based on your responses, indicate for you the capacity assessments that should be completed, including HACT Micro-Assessments.</p> <p>Applicability: This 'Capacity Assessment Scoping' should be completed for all UNDP partners, regardless of whether they are IPs or RPs or Private Sector partners fulfilling other roles.</p> <p>Responsibility & Timing: The Project Developer should complete this 'Capacity Assessment Scoping' as early as possible in the Project Design phase to ensure that the Capacity Assessments needed are identified early and arrangements made for their timely completion.</p>	
<p>Background Information (carried forward from 'Partner Pre-requisites' work sheet)</p>	<p>Comments: (Optional) Environmental Information and Education Centre (EEIC) is a legal entity of public law and is subsidiary of the Ministry of Environmental Protection and Agriculture (MEPA) of Georgia.</p>
Region	CEE/CIS
Office	Georgia
Programme Start	1-Jul-22
Programme End	30-Jun-25
Partner Name	Environmental Information and
Partner budget for this Project (USD)	\$ 5,117,000
<p>Capacity Assessment Scope Questions</p>	
<p>Select Responses from the Dropdown menus</p>	
1. Is this a humanitarian project for which a rapid CSO/NGO Partner capacity assessment is needed?	No
2. What role will this organization fulfil on this project?	IP
3. What is the nature of this organization? (Govt, CSO etc)	Government
4. Will this Partner receive more than US \$150,000 per annum?	Yes
5. Has a Partner Capacity Assessment (including HACT Micro-Assessment) already been performed during the Programme Period?	No
6. Will the Partner be implementing construction activities?	No
7. Will the Partner undertake grantmaking activities on behalf of UNDP?	No
8. Will the Partner be implementing project activities funded by the Global Environment Facility (GEF) or the Green Climate Fund (GCF)?	Yes

If you don't see the assessments you expect, please refresh your answers to the questions above starting with Q1.

Capacity Assessments needed for this IP	Links to these Capacity Assessments
Programmatic & HACT Micro-Assessment needed	Programmatic Assessment
	HACT Micro-Assessment
GEF & GCF Procurement Assessment needed	GEF & GCF Procurement Assess

[Return to FCAT Overview Page](#)

Partner Capacity Assessment Tools: Programme & Project Management Assessment	
Purpose: This worksheet is designed to assess the Partner's Programme & Project Management capacity. It covers topics that are not included in the HACT Micro-Assessment.	
Responsibility & Timing: The Programme & Project Management capacity assessment should be completed by the Project Developer as soon as possible in the Project Design Phase.	
Background Information (informed forward from Partner Pre-requisites worksheet)	
Region	CEE/CIS
Office	Georgia
Programme Start	1-Jul-22
Programme End	30-Jun-25
Partner Name	Environmenta Information and Education Center (EIEC)
Partner budget for this Project (USD)	517,000

Tool Risk Category	Risk being Addressed	Q1 Questions	Response (Yes, No Importance or N/A)	Relative Importance of Each Capacity to this Project?	Risk Assessment points	Risk Score based on Response	Remarks/ Comments
Strategic (S.1) Partner (operational)	Alignment of political commitment	1. Is the organization's leadership willing to implement this project?	Yes	High	4	0	With this leadership, organization has prepared GHG inventory chapter of previously submitted NCS and BURs.
Strategic (S.1) Partner (operational)	Difficult Programmatic context	2. Is there a stable enabling environment for the Partner to operate within, in terms of political changes or social unrest, ongoing conflicts, poor physical infrastructure, natural disasters, humanitarian crises?	Yes	High	4	0	Organization was established in 2013 and represents subsidiary of Ministry of Environmental Protection and Agriculture of Georgia. At this stage, environment is stable for project implementation.
Strategic (S.1) Partner (operational)	Misalignment of Partner's core competencies	3. Are the project outputs proposed to be delivered by this Partner aligned with its mandate, core competencies, base, and experience? (Consider role of project, geographic context, consistency of results to be achieved)	Yes	High	4	0	EIEC's mandate is to promote environment and agricultural education among Georgian society, raise public awareness, support public participation in decision-making process, as well as
Strategic (S.1) Partner (operational)	Weakness in Partner's reporting	4. Does the Partner provide its stakeholders and beneficiaries with an annual or periodic programme performance report and do they have an opportunity to provide feedback on the IP's programme performance, either through public meetings or other grievance mechanisms?	Yes	High	4	0	As a LEPL (legal entity of Public Law), EIEC is obliged to provide information to general public. All National and Annual Reports are published online: https://eiec.gov.ge/En/PublicInformation as well as submitted to Georgia's Parliament, President and Prime Minister.
Strategic (S.1) Partner (operational)	Weakness in Partner's communication	5. Does the Partner have established protocols and appropriate infrastructure to communicate internally (including sub-offices and to sub-recipients) and to external stakeholders (donors, partners, other implementers, government, etc.)?	Yes	High	4	0	All information (financing and costing of EIEC budget, its execution, detailed information of salaries, fuel, real estate balance etc. along with grants received and issued) is provided and communicated to
Strategic (S.1) Partner (operational)	Alignment of Critical Networks	6. If the Partner depends on any upstream organization(s) for its successful performance, is there any evidence that this dependent relationship will cease or be impaired during the duration of this project? (Consider: (1) type of relationship - local or international network, association, affiliated group, municipal or provincial government, drawing on central government support, and (2) nature of dependency - financial, programmatic, administrative)	Yes	Substantial	3	3	Upstream organization is Ministry, considering that Ministry has chosen EIEC, there is no risk that this relationship will negatively affect implementation.
Strategic (S.1) Partner (operational)	Alignment of Stakeholders in Critical Networks	7. Has the Partner assessed the capacity of any downstream partners it will rely upon for the success of the project, and if capacity gaps were found, has it developed a suitable plan to address them (such as capacity building and/or increased monitoring)?	No	Moderate	2	2	NA
Strategic (S.1) Partner (operational)	Alignment of Critical Networks	8. Is the Partner party to knowledge networks, coordinating bodies, and other fora that are essential for the successful implementation of this project?	No	Moderate	2	2	NA
Strategic (S.1) Partner (operational)	Human/Technical Alignment	9. Do the skills and experience of the Partner's technical professionals match those required for the project and will they be available for the duration of the project (particularly if the project is implemented in remote or challenging geographical areas)?	Yes	High	4	0	CVs of technical personnel involved in project operations support is provided on https://eiec.gov.ge/En . EIEC has adequate capacity to provide execution services to this project. PM and PA will be recruited after GEF approval and both will be available throughout. Center is located on the premises of the Ministry and depending on nature of the project it has more than adequate technical and administrative capacity to support project.
Strategic (S.1) Partner (operational)	Human/Technical Alignment	10. Does the Partner have the necessary technical and administrative infrastructure (i.e. offices, laboratories, equipment, software, technical data bases, etc.) to support the implementation of the project, including in remote areas or regions if required?	Yes	High	4	0	

EMU Risk Category	Risk Being Addressed	Q.F. Questions	Response (Yes, No or N/A)	Relative Importance of Each Capacity to this Project?	Risk Assessment points	Risk Score based on Response	Remarks/ comments
Strategic (7.3) Partner (aquaculture)	Partner Absorption Capacity	11) If the existing programme and financial management capacities (staffing systems, etc) are not adequate to meet the additional requirements of the project, does the Partner have the ability to strengthen the capacities within a reasonable timeframe so that the project is not significantly delayed? (i.e. can't recruit staff and/or implement a suitable system promptly?)	No	High	4	4	Based on micro assessment staffing, accounting, procurement capacities are assessed as low risk. Depending that organization is subsidiary of MEPA and its main source of funding is government budget, decisions of staffing or implementing new systems are not made promptly. All such decisions needs government approval.
Strategic (7.3) Partner (aquaculture)	Partner Absorption Capacity	12) If the organization has a salary scale that would apply to project personnel, would that scale inhibit hiring the best candidate?	No	High	4	0	Center follows Law of Georgia on Public Service for personnel recruitment. Base salary scales of Public Service are low compared to private sector. http://www.mps.gov.ge/ge/employment/employment-act-act.html
Strategic (7.5) Code of conduct & ethical, social & principles and ethical Environmental (1.1, 1.2)	Violation of programme standards	13) Does the Partner have an internal policy and a training programme for personnel on the prevention of and response to sexual harassment (SH) and sexual exploitation and abuse (SEA)?	Yes	Substantial	3	0	It is regulated by Labour Code of Georgia. Training on SH and SEA are conducted. EEC is responsible to provide such training to the Ministry as well.
Strategic (7.5) Code of conduct & ethical, social & principles and ethical Environmental (1.1, 1.2)	Violation of programme standards	14) Does the Partner screen their personnel, and/or partners they engage with, for previous involvement or alleged involvement in SH or SEA?	No	Substantial	3	3	According to Labour code of Georgia - curbing recruitment for fixed-term staff screening is mandatory. In case of supplier NA.
Strategic (7.5) Code of conduct & ethical, social & principles and ethical Environmental (1.1, 1.2)	Violation of programme standards	15) Does the Partner have a mechanism in place to report and monitor response to allegations of SH and SEA by and against their personnel? (Consider include reporting mechanisms such as email, hotline, phone numbers, contact person, etc.)	Yes	Substantial	3	0	Decree (24.03.2021) on EEC acceptance of mechanisms is provided and is in line with Labour Code of Georgia. https://matrine.gov.ge/na/documents/view/4548377?publication=0
Strategic (7.5) Code of conduct & ethical, social & principles and ethical Environmental (1.1, 1.2)	Violation of programme standards	16) Does the Partner have the capacity - internal or external - to investigate allegations of SH and SEA, and the ability to refer victims to appropriate victim assistance services (e.g. medical, legal or psychosocial)? (Consider information on available capacity (such as formal investigation or access to external investigation services) and mechanisms (such as identification assistance, advocacy, in a written statement).	Yes	Substantial	3	0	Legislation on the prevention of and response to sexual harassment by the Parliament of Georgia in 2019. Government is taking action to develop sexual harassment complaint mechanisms in civil service. At this stage EEC has only internal/official capacity to investigate such allegations. Decree provided 24.03.2021.
Strategic (7.3) Partner (aquaculture)	Individual safety & security	17) Does the Partner have protocols and safeguards in place to minimize the risk of harm to project-affiliated people, the environment and assets? (e.g. sexual exploitation and abuse, physical safety & security, social & environmental safeguards, etc.)	No	Substantial	3	3	
Strategic (7.5) Code of conduct & ethical, social & principles and ethical Environmental (1.1, 1.2)	Violation of programme standards	18) Has the Partner advised employees, beneficiaries and other recipients to whom they should report sexual misconduct or where to may report fraud, waste or misuse of agency resources or property? If so, does the P have a policy against retaliation relating to such reporting?	Yes	Substantial	3	0	To Minister of MEPA and head of audit department of MEPA.
Overall Risk Assessment for this Section							
Overall Risk Assessment for this Section							
Low Risk							
Low Risk							
No actions considered necessary							
PST							
5							
Comments on Overall Programme & Project Management Assessment. (Optional)							
LMA							
Return to Capacity Assessment Jobpost							

EBM Risk Category	Risk Being Addressed O.F	Questions	Response (Yes, No, N/A)	Relative Importance of Each Capacity to the Project?	Risk Assessment points	Risk Score based on Response	Remarks/ comments
Additional Considerations for CSOs/NGOs B							
Political (1) Government involvement	Minimum of National Government Commitment	1 Has the national government raised any objections to this organization being considered as a Partner for this project?	No	High	4	0	Organization was chosen by government.
Regulatory (1.3, 1.6)	adequate legal match	2 Is the organization currently registered to operate in the country?	Yes	High	4	0	Established on May 14, 2013
Regulatory (1.3, 1.6)	Absence of Non Profit Mandate	3 Does the organization have a not-for-profit mandate and nature?	Yes	High	4	0	Legal Entity of Public Law
Strategic (2.1) Partner selection	Adequate Governance & Oversight	4 Does the CSO/NGO have a governing body or management team that actively monitors operations in-country to ensure organizational standards in programs and financial management are adhered to?	Yes	High	4	0	EEC promotes sustainable development through encouraging education related to environmental components and by accessing comprehensive information.
Strategic (2.1) Partner selection	Unbiased/Unswayed Candidates	5 Does the CSO/NGO have a clear constituency with which it has regular and participatory links (including in programs design, review, and reporting of performance) and does it apply effective approaches to collect baseline information and reach its target (i.e. participatory methods)?	Yes	High	4	0	Clear and involved constituency
Social & Environmental (1.1, 1.2, 1.7, 1.11)	Documentation membership	6 If the organization's membership-based, are its membership policies based on principles of non-discrimination?	No	Moderate	2	2	NA
Strategic (2.1) Partner selection	Unbiased to country Preference	7 Does the CSO/NGO maintain a strong presence in-country and/or the field (e.g. Field offices, laboratories, equipment, software, technical data bases, etc.) that will oversee the day-to-day implementation of the project?	Yes	High	4	0	Adequate in-country presence
Strategic (2.1) Partner selection	Project Sites or Intersections	8 Is the CSO/NGO involved in any litigation that could impact the delivery of the project?	No	High	4	0	NA
Strategic (2.1) Partner selection	Individuals/Institutional Ability	9 Does the CSO/NGO have adequate communications and logistical capacity to implement this project (e.g. coordination between main office and field offices, transportation of people and/or materials)?	Yes	High	4	0	Based on public information as of Jan 2012 Center has total of 17 fixed term employees and 3 vehicles, which is more than necessary to support project implementation.
Overall Risk Score for this Section					2		
Overall Risk Assessment for this Section					Low Risk		
Conclusion on Additional Considerations for CSO/NGO Capacity Assessment							
Overall Risk Assessment							
Select the risk mitigation strategies that will be employed (i.e. capacity building actions and/or enhanced monitoring and assurance activities)							
Describe the capacity building actions and/or enhanced monitoring and assurance activities that will be included in the Project Document							
Provide the estimated budget required for these activities (to be included in the Project Budget) (US)							
Comments on Overall Additional Considerations for CSO/NGO Capacity Assessment (Optional)							
ABC							
5							
195							
Return to Capacity Assessment Section							

Partner Capacity Assessment Tool: Procurement Capacities for Partners who will implement projects funded by Global Environment Facility (GEF) and Green Climate Fund (GCF)

Purpose: This worksheet is designed to assess the Partner's procurement capacity for all projects funded by Global Environment Facility (GEF) or Green Climate Fund (GCF). It is separate and distinct from the HACT micro-assessment and should be performed for all Partners that will implement GEF or GCF-funded projects, even where a HACT assessment has already been performed on the Partner.

Responsibility & Timing: The Procurement capacity assessment should be completed jointly by the Project Manager and the Country Office procurement team as soon as possible in the Project Design Phase.

Background Information (carried forward from "Partner Pre-requisites" worksheet)		Procurement Information for this Partner for this GEF or GCF projects (Enter information here)	
Region	Comments: (Optional) CEE/CIS Georgia	Procurement Budget that will be implemented by this Partner	517,000 Add comments here
Office	Environmental Information and Education Centre (EIEC) is a legal entity of public law and is subsidiary of the Ministry of Environmental Protection and Agriculture (MEPA) of Georgia.	Procurement Type(s)	Consultancy Services
Programme Start	1-Jul-22	Any high risk/high exposure categories planned? (Y/N)	N
Programme End	30-Jun-25	UNDP has prior experience with this Partner and its procurement capacities? (Y/N)	Y
Partner Name	Environmental Information and Education Center (EIEC)	Will the Partner outsource or refer any elements of the budgeted procurement for this project to another entity?	Y
Partner budget for this Project (USD)	\$ 517,000	Other relevant remarks on planned procurement activities or Partner capacities (optional) Procurement Risk Management Resources to consider	Enter information here
		<p>For construction activities, refer to the PCAT construction capacity assessment by selecting "yes" to question 6. "Will the Partner be implementing construction activities?" on the Capacity Assessment Scoping Page. For other high risk/high exposure categories, contact your Regional Procurement adviser to seek guidance/advice. If the Partner will be implementing high risk/high exposure categories, the capacity assessment questions below should be evaluated in light of the capacities that will be needed for this type of procurement.</p> <p>If UNDP's prior experience with the Partner includes procurement capacity weaknesses, review and comment on how these weaknesses have been addressed (or not) by the Partner in the 'comments' section of the relevant capacity areas below and by selecting the assessment responses that reflect the current capacity. If the capacity weaknesses were significant and have not been rectified in a reasonable time period, re-evaluate whether this is the most suitable Partner to perform these procurement activities.</p> <p>There may be cases where a Partner routes / channels procurement for some given categories and/or over specific thresholds through centralized procurement bodies / entities (i.e. a smaller NGO having to deliver portions of their procurement through regional office in a given NGO or a Ministerial department that uses the central procurement department in the Ministry of Finance to source all inputs required by a project funded by international organizations, etc.) If the Partner will channel the majority or all of the budgeted procurement for this project to another entity, consider performing this capacity assessment on that entity as well.</p>	
		<p>The Procurement Risk Management tool provides a country-based rating for macro variables, for example inflation, political risk, corruption index, transparency, etc. and is a useful reference point for understanding the environment the Partner is operating in.</p>	

Procurement Capacity Assessment - PART A: Quantitative					
Quantitative Risk Elements	Select your response from the drop-down list	Assigned rating based on your response (based on PJU rating system)	Relative importance of each capacity (based on PJU weighting system)	Risk Score based on Response (out of 5) 1=Very Low Risk 2=Low Risk 3=Medium Risk 4=High Risk 5=Very High Risk	Remarks/Comments
Partner's total procurement volume managed per year (all activities)	Less than US \$5 Million	1	20%	0.2	
Year-to-Year total procurement volume variation	Less than 20%	1	15%	0.15	
Procurement Review Committee compliance rate	100% of required cases were reviewed by the PRC	1	25%	0.25	
Consolidated procurement plan exists	IP has a Consolidated Procurement Plan	1	20%	0.2	
What was the risk rating for the Procurement Section of the most recent HACT micro-assessment? (Note: HACT assessments are valid for a 4 year period)	Low risk	1	20%	0.2	
			100%	1	

Procurement Capacity Assessment - PART B: Qualitative					
Procurement capacity area	Guidance on elements of a well-functioning procurement capacity to review & evaluate during your assessment	Responses to Capacity Questions (select the most appropriate response from the drop-down list in each box below based on your discussions with the IP and your review of documentation)	Assigned rating based on your assessment (out of 5) 1=Very Low Risk 2=Low Risk 3=Medium Risk 4=High Risk 5=Very High Risk	Relative importance of each capacity (based on PSU weighting system)	Risk score based on response
1. Procurement strategy	<p>1.1 Does a procurement strategy exist and is it properly documented?</p> <p>1.2 Do staff & management appear to be familiar with the procurement strategy?</p> <p>1.3 Does the procurement strategy include tools & mechanisms to categorize and prioritize high risk/high exposure procurement activities?</p> <p>1.4 Does the IP have LTAs / Framework agreements in place and if so, what is the percentage of spend channeled through LTAs or similar?</p> <p>CONCLUSION: Based on your responses to the questions above, please select the most appropriate conclusion regarding the IP's procurement strategy capacity from the drop-down list.</p>	<p>Yes - good quality</p> <p>Yes - good understanding</p> <p>Yes - basic tools & mechanisms</p> <p>No LTAs are used</p> <p>VERY GOOD procurement strategy, with strong capacity in all areas.</p> <p>Basic structure</p> <p>Yes - very good & well aligned</p> <p>Always</p>	<p>1</p> <p>20%</p>	<p>1</p> <p>20%</p>	<p>0.2</p>
2. Functions & organization of the procurement unit	<p>1. Is the procurement unit well structured, with clear leadership, appropriate resourcing for its current procurement profile and volume, and well defined and assigned roles and responsibilities for the entire procurement cycle (including contract management)? Note: For assessing appropriate resourcing, a good benchmark is considered to be US\$ 5 million procurement spend handled by each procurement staff member.</p> <p>2. Are delegations of authority and procurement thresholds clear, documented, and set at appropriate levels given existing competencies and capacities.</p> <p>3. Does the IP have and routinely use electronic procurement systems and associated data analytics?</p>	<p>The annual public procurement plan published on www.ub.ac.za.</p> <p>Procurement plan and strategy is discussed on monthly meetings</p> <p>Not clear from uploaded document, but from discussion with center high LTAs not permitted by state law. All procurement of services or goods are</p> <p>2 procurement specialist are in EIEC</p> <p>They are carrying out procurement plans according to State Procurement law within the framework of the approved Annual State Procurement Plan</p> <p>Delegation, threshold etc are clear and defined by public law - Director is responsible to sign all procurement https://tenders.procurement.gov.ge/public/</p>			

Procurement Capacity Area	Guidance on elements of a well-functioning procurement capacity to review & evaluate during your assessment	Responses to Capacity Questions (select the most appropriate response from the drop-down list in each box below based on your discussions with the IP and your review of documentation)	Remarks/Comments	Assigned rating based on your assessment (out of 5) 1=Very Low Risk 2=Low Risk 3=Medium Risk 4=High Risk 5=Very High Risk	Relative importance of each capacity (based on PSU weighting system)	Risk score based on response
3. Human resources & capacity of the Procurement Unit	<p>4. Is there an active permanent Procurement Review Committee with alternative members? Note: this may include Procurement Review Bodies that are external to the Partner, such as a central tender board</p> <p>CONCLUSION: Based on your responses to the questions above, please select the most appropriate conclusion regarding the IP's procurement functions & organizational structure from the drop-down list.</p> <p>1. Are there clear job descriptions and do actual staff functions appear to be aligned with them?</p> <p>2. Are staff competencies aligned with procurement complexity? (In assessing competency consider: Do staff have experience in conducting international procurement? Are trainings or certification available and have they resulted in sustainable technical & institutional knowledge? Are annual performance reviews done? Do staff have a reputation for professional, knowledgeable, and efficient procurement performance?)</p> <p>3. What percentage of staff in the procurement unit (or those responsible for performing the IP's procurement function) have undergone procurement certification, accreditation, training, etc</p> <p>4. Is there a strong local market for procurement expertise that the IP could tap into to easily expand procurement unit staff to manage new projects?</p> <p>5. Is the work of the Procurement Review Committee performed by members who are qualified to conduct procurement reviews and is their performance evaluated and recognized?</p> <p>6. Has the IP experienced frequent turnover of senior management and senior procurement specialist staff within the past 5 years?</p> <p>CONCLUSION: Based on your responses to the questions above, please select the most appropriate conclusion regarding the IP's procurement human resources capacity from the drop-down list.</p>	<p>Yes - mostly active</p> <p>VERY GOOD procurement unit functions and organization</p> <p>Yes - clear & mostly aligned</p> <p>Competencies good & mostly aligned</p> <p>>75%</p> <p>Limited expansion possibility</p> <p>Basic PRC</p> <p>Some turnover</p> <p>VERY GOOD procurement human resources capacity</p> <p>Very often</p> <p>Satisfactory plan content</p> <p>Always</p> <p>Often</p>	<p>Such committees exist in State Procurement Agency, who are reviewing all procurements depending</p> <p>Jobs descriptions are approved by Director</p> <p>Mandatory trainings for All procurement staff are conducted by state procurement agency on annual basis.</p> <p>Each of them has such certification</p> <p>Needs government approval</p> <p>Certified procurement staff are permanent member of committee, other technical staff depending on Director is with Center since 2018</p> <p>Procurement specialists, Head of</p> <p>Procurement plans are approved on annual basis and are discussed on monthly meetings</p> <p>With sufficient details</p> <p>Updated quarterly: https://eec.gov.ge/En/PublicInforma</p> <p>Pursuant to state procurement law</p>	1	15%	0.15
4. Procurement cycle management	<p>A. Planning: 2. Do procurement plans contain sufficient detail, realistic lead times and deadlines, accurate costings, and options for external support if in-house capacity does not exist?</p> <p>A. Planning: 3. Are procurement plans uploaded to an electronic platform/system?</p> <p>B. Sourcing: 1. Does the procurement unit conduct market analysis for high complex/high expenditure categories using established and/or commonly accepted good practices?</p>	<p>Very often</p> <p>Satisfactory plan content</p> <p>Always</p> <p>Often</p>	<p>Procurement plans are approved on annual basis and are discussed on monthly meetings</p> <p>With sufficient details</p> <p>Updated quarterly: https://eec.gov.ge/En/PublicInforma</p> <p>Pursuant to state procurement law</p>	1	15%	0.15

Procurement capacity area	Guidance on elements of a well-functioning procurement capacity to review & evaluate during your assessment	Responses to Capacity Questions (select the most appropriate response from the drop-down list in each box below based on your discussions with the IP and your review of documentation)	Remarks/ comments	Assigned rating based on your assessment (out of 5) 1=Very Low Risk 2=Low Risk 3=Medium Risk 4=High Risk 5=Very High Risk	Relative importance of each capacity (based on PSU weighting system)	Risk score based on response
<p>B. Sourcing: 2. Is pre-qualification used in relevant cases and are pre-qualification documents clear and complete, including all requirements for evaluation?</p> <p>C. Solicitation documents: 1. Are standard solicitation documents available and used? (For example, do they use standard TORs/Requirements/Specs? Are documents tailored for project requirements and the procurement activity? Do they include all relevant information to prepare an offer? Do they establish clear evaluation criteria (and sub-criteria where relevant) and how they will be applied? Do they include MFIs where relevant? Do they include templates for the submitting companies? Do they allow receipt of comparable offers? Do they properly apply bid securities and performance securities?)</p> <p>C. Solicitation documents: 2. Is there good collaboration between procurement staff and the requesting units when developing TORs and requirements to ensure that they are developed efficiently and accurately?</p> <p>D. Communication between bidders and the procurement unit: 1. Does the procurement unit include in the bidding documents a debriefing conference or on-site visit when applicable and they are properly managed and documented?</p> <p>D. Communication between bidders and the procurement unit: 2. Are bidder's clarifications replied to quickly, with complete information and in writing, and is the information shared with all bidders to ensure equal and timely information?</p> <p>E. Offers receipt and opening: 1. If the IP is not using electronic procurement systems, are offers kept safe & locked before the submission deadline?</p> <p>E. Offers receipt and opening: 2. Does a permanent bid opening committee exist and does it operate on a rotational basis?</p> <p>E. Offers receipt and opening: 3. Does the IP follow good bid receipt and opening practices? (For example, is the normal time lag between offer submission deadline and bid opening reasonable? Are public bid openings conducted when applicable? Are invitations to bid openings appropriate? Is relevant information read during the bidding ceremony and it is recorded in a bid opening record?)</p> <p>F. Evaluation of Offers: 1. Is the evaluation process (including technical) conducted appropriately? (For example, is the process conducted within the validity of the offers? Is the evaluation done in a systematic manner that follows evaluation criteria specified in the bidding documents? Do evaluation sheets include all relevant information, including reasons for offer disqualifications? Are evaluations properly documented?)</p> <p>F. Evaluation of Offers: 2. Does the evaluation include screening of ineligible/sanctioned/suspended bidders?</p> <p>G. Contract Award: 1. Are contracts awarded based on lowest evaluated offer or cumulative score (if applicable) and are negotiations (if any) conducted within procurement rules?</p> <p>G. Contract Award: 2. Do contract awards respect established thresholds?</p>	<p>Often</p> <p>Always</p> <p>Often</p> <p>Often</p> <p>Always</p> <p>N/A - IP uses electronic systems</p> <p>N/A - IP uses electronic systems</p> <p>N/A - IP uses electronic systems</p> <p>Always</p> <p>Always</p> <p>Always</p>	<p>Pursuant to state procurement law</p> <p>Pursuant to state procurement law it is done always. Otherwise, decision of procurement committee might be appealed. To avoid such appeals prequalification and solicitation documents are always available.</p> <p>Based on previous experience with Center, they always managed to deliver in a timely manner, therefore http://procurement.gov.ge/Home.aspx</p> <p>Pursuant to state procurement law - always and uploaded electronically</p> <p>Pursuant to state procurement law</p> <p>List provided on website http://procurement.gov.ge/Home.aspx Lowest priced or cumulative scoring Negotiations are permitted and conducted according to law</p> <p>Pursuant to state procurement law</p>	<p>1=Very Low Risk 2=Low Risk 3=Medium Risk 4=High Risk 5=Very High Risk</p>	<p>Risk score based on response</p>		

Procurement capacity area	Guidance on elements of a well-functioning procurement capacity to review & evaluate during your assessment	Responses to Capacity Questions (select the most appropriate response from the drop-down list in each box below based on your discussions with the IP and your review of documentation)	Assigned rating based on your assessment (out of 5) 1=Very Low Risk 2=Low Risk 3=Medium Risk 4=High Risk 5=Very High Risk	Relative importance of each capacity (based on PSU weighting system)	Risk score based on response	
4. Conclusion: Procurement cycle management & filing	G. Contract Award: 3. Does the Procurement Review Committee receive good quality submissions, and are they systematically analyzed, with documented minutes and recommendations that are routinely followed up?	Not often	No info provided			
	H. Contract Management & Administration: 1. Does a contract management & administration system exist (manual or electronic) to properly monitor contract implementation (including communications with contractors/vendors on contract management & administration issues)?	Yes - satisfactory	Electronic system within EIEC exists			
	H. Contract Management & Administration: 2. Do technical and procurement staff have clearly defined roles and responsibilities regarding contract management & administration?	Yes - very good	Roles and responsibilities clearly delimited and defined			
	H. Contract Management & Administration: 3. Are KPIs defined early on in the contract management process for complex contracts and are contracts, in general, executed in time and within the agreed original price?	Often	KPIs defined, according to law, price of procurement can not be changed			
	H. Contract Management & Administration: 4. Is there a documented procedure for acceptance and quality control of goods/ works/ services and does the IP pay suppliers timely?	Yes - good	Respective requester is responsible on quality check together with procurement specialist. Ips are paid			
	H. Contract Management & Administration: 5. Do contract amendments comply with procurement rules?	Always	State procurement agency monitors constantly			
	H. Contract Management & Administration: 6. If the Partner will route/channel any elements of procurement for this project to another entity, does that entity have a proven track record of satisfactory procurement delivery?	N/A - Partner will do all procurement directly				
	CONCLUSION: Based on your responses to the questions above, please select the most appropriate conclusion regarding the IP's procurement cycle management capacity from the drop-down list.	VERY GOOD procurement cycle management capacity		1	25%	0.25
	1. Does the procurement unit maintain complete documentation of procurement cases to provide proper traceability and are the documents retained for an established period of time in accordance with the IP's document retention policy? (For traceability, consider how the IP documents the bidding process, including announcements, pre-qualification (if applicable), bidding documents, any applicable minutes (conference, on site visit), clarifications, opening records, evaluation records, copy of the offers, any complaints (if applicable, copy of the contract, other documents as relevant to the procurement process)	Very good documentation	All documentation available online http://procurement.gov.ge/			
	2. Does the IP properly document its contract administration actions?	Good documentation	Only internally within EEC	1	5%	0.05
CONCLUSION: Based on your responses to the questions above, please select the most appropriate conclusion regarding the IP's procurement documentation & filing capacity from the drop-down list.	VERY GOOD procurement documentation & filing capacity					

Procurement capacity area	Guidance on elements of a well-functioning procurement capacity to review & evaluate during your assessment	Responses to Capacity Questions (select the most appropriate response from the drop-down list in each box below based on your discussions with the IP and your review of documentation)	Remarks / comments	Assigned rating based on your assessment (out of 5) 1=Very Low Risk 2=Low Risk 3=Medium Risk 4=High Risk 5=Very High Risk	Relative importance of each capacity (based on PSU weighting system)	Risk score based on response
6. Handling complaints	<p>1. Does the IP have a responsive process for handling complaints and is it consistently followed? (Consider whether complaints are acknowledged and addressed in 48 hours, are properly documented, including claims and solutions, and whether the IP keeps a Complaints Log)</p> <p>CONCLUSION: Based on your responses to the questions above, please select the most appropriate conclusion regarding the IP's procurement complaint handling capacity from the drop-down list.</p>	<p>Very good process</p> <p>VERY GOOD procurement complaint handling capacity</p>	<p>According to state procurement law http://procurement.gov/6e/Home.aspx/page/Davebi</p>	1	10%	0.1
7. Perception and/or reputation among stakeholders and business community	<p>1. Does the procurement unit have a reputation for efficient and effective performance amongst stakeholders and/or the business community? (Note: Stakeholder feedback needs to be viewed in context, however it can be a good indicator of efficiency and transparency combined with other capacity observations)</p> <p>CONCLUSION: Based on your responses to the questions above, please select the most appropriate conclusion regarding the IP's procurement perception and/or reputation among stakeholders and the business community from the drop-down list.</p>	<p>GOOD perception and/or reputation, with minor weaknesses in some areas that could be quickly addressed.</p> <p>VERY GOOD perception and/or reputation</p>	<p>Depending that everything is uploaded online any interested party can review and monitor</p>	1	10%	0.1
Overall Risk Score for the Qualitative Assessment Section						1
Overall Risk Assessment for the Qualitative Section						Very Low Risk
Conclusion on Procurement Capacity Assessment						
Overall Risk Assessment - Quantitative & Qualitative Combined risk score (auto-calculated: adds H23 and L76, then divides by 2 to arrive at a risk score out of 5)						
Select the risk mitigation strategies that will be employed (i.e. capacity building actions and/or enhanced monitoring and assurance activities)						
Describe the capacity building actions and/or enhanced monitoring and assurance activities that will be included in the Project Document						
Provide the estimated budget required for these activities (to be included in the Project Budget) (SUS)						
Comments on Overall Procurement Assessment: (Optional)						
5						

Partner Capacity Assessment Tool- Step 4: Capacity Assessment Conclusions
Return to PCAT Dashboard [Return to Capacity Assessment Source](#)

Purpose: This worksheet is designed to capture the results of the capacity assessments completed and the resulting mitigation strategies for the risk levels identified. Risk mitigation strategies can include capacity building and/or enhanced monitoring and assurance activities. These activities should be included in the Project Document and the associated Project Budget. When completed, attach this worksheet to the Project Document.

Responsibility & Timing: This Capacity Assessment Conclusion page is automatically generated based on the results of the assessments completed in the PCAT. It should be reviewed by the Project Developer for completeness and accuracy and attached to the Project Document. If changes need to be made to this Conclusion page, they should be done on the relevant Capacity Assessment Worksheet (i.e. Programme Project Mgt, Construction Assess, On-Granting Assess, RPA, Proposal Due Diligence, Private Sector Due Diligence, etc.) so that the corrections will be captured in the relevant assessments and automatically displayed here.

Background Information (pulled forward from "Partner Pre-reqs" worksheet)

Region	CZE/CS	Comments: (Optional)
Office	Georgia	Environmental Information and Education Centre (EIEC) is a legal entity of public law and is subsidiary of the Ministry of Environmental Protection and Agriculture (MEPA) of Georgia.
Programme Start	1-Jul-22	
Programme End	30-Jun-25	
Partner Name	Environmenta	
Partner budget for this Project (USD)	\$17,000	

Assignable Concerns listed in the "Pre-Req" tab for Partnering Screen

Area of concern	Nature of evidence found and how associated risks to UNDP will be managed	Management & Justification Plan documented?	Information included in Project Risk Log? (Yes/No)	Estimated budget to Implement Management & Justification Plans (if any)	Comments (Optional)

Capacity Assessment Conclusions for this IP

Automatically Generated

Capacity Assessment Component	Overall Risk Assessment for this Component	Risk Mitigation Strategies (i.e. capacity building actions and/or enhanced monitoring and assurance activities)	Describe the capacity building actions and/or enhanced monitoring and assurance activities that will be included in the Project Document	Estimated budget required for these activities (include in the Project Budget) (USD)	Comments (Optional)
Conclusion on Programme's Assessment	Low Risk	No actions considered necessary	PST	\$	LMN
Conclusion on GEF & GCF Procurement Assess	Very Low Risk	No actions considered necessary	ABC	\$	NYC
Conclusion on HACT Micro-Assessment (manually enter here based on results of HACT Micro-Assessment completed by independent Third-Party Service Provider)	Low Risk	No actions considered necessary	NA	0	NA
Total				\$	

Comments on Overall Capacity Assessments for this IP (Optional)

Assessment Conducted by:
 Davit Samunashvili
 EE Programme Associate

Date: 20 March 2022

Annex 12: UNDP Project Quality Assurance Report

<https://intranet-apps.undp.org/ProjectQA/Forms/Design?fid=12963&year=2022&ou=GEO&pid=00134925&fltr=PROJECT>

Form Status: Approved	
Overall Rating:	Highly Satisfactory
Decision:	Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
Portfolio/Project Number:	00134925
Portfolio/Project Title:	Georgia's 1BTR/5NC
Portfolio/Project Date:	2022-07-01 / 2025-06-30

Strategic Quality Rating: Highly Satisfactory

1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?

- 3: The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.
- 2: The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.
- 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.

Evidence: The project is linked to CDD 2021-2025 Output 2.1

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

2. Is the project aligned with the UNDP Strategic Plan?

- 3: The project responds to at least one of the development settings as specified in the [Strategic Plan¹](#) and adapts at least one [Signature Solution²](#). The project's RRF includes all the relevant SP output indicators. (all must be true)
- 2: The project responds to at least one of the development settings as specified in the [Strategic Plan⁴](#). The project's RRF includes at least one SP output indicator, if relevant. (both must be true)
- 1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

Evidence: The project is linked to SP 2022-2025 output 1.1, reference given in RRF.

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No documents available.			

3. Is the project linked to the programme outputs? (i.e., UNDAF Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)

- Yes
- No

Evidence: Yes, project is linked to CPD Output 2.1 (cover, RRF)

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

Relevant

Quality Rating: Satisfactory

4. Do the project target groups leave furthest behind?

3: The target groups are clearly specified, prioritising discriminated, and marginalized groups left furthest behind, identified through a rigorous process based on evidence.

2: The target groups are clearly specified, prioritizing groups left furthest behind.

1: The target groups are not clearly specified.

Evidence: The project's main target group is the Government institutions responsible for Climate Change policy development, enforcement, implementation, monitorin and in charge of the preparation of Fifth National Communication (5NC) and First Biennial Transparency Report (1BTR) to the UNFCCC. Target group described in sub-section "Project stakeholders and target groups" under Section 7 GOVERNANCE AND MANAGEMENT ARRANGEMENTS, and additionally in Annex 7. Stakeholder Engagement Plan.

List of Uploaded Documents

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No documents available.

5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?

3: Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.

2: The project design mentions knowledge and lessons learned backed by evidence/sources but have not been used to justify the approach selected.

1: There is little, or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.

Evidence: Section 2/Development Challenge mentions previous 2 phases of this project (first BUR was presented in July 2016 and provided information on the National GHG Inventory for the years 2012 and 2013. The second BUR was presented in June 2019 with updated information presented in the first BUR and included the national GHG inventory for the years 2014 and 2015, as well as an update of the 1990 to 2013 series of the inventory presented in the First BUR). Technical analysis report of the 2BUR was taken into consideration in defining capacity building needs of relevant government agencies.

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No documents available.

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national / regional / global partners and other actors?

3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (all must be true)

2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.

1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence: Annex 7. Stakeholder Engagement Plan provides detailed information on distribution of the labour among all involved agencies.

List of Uploaded Documents

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No documents available.

Principled

Quality Rating: Satisfactory

7. Does the project apply a human rights-based approach?

3: The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true)

2: The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. (both must be true)

1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

Evidence: Human rights and namely gender equality principles are fully embedded in the project document (see Annex 8: Gender Analysis and Gender Action Plan). The project will carry out the analysis with a human-rights based and gender-sensitive approach throughout the vulnerability assessment and ensure that the compiled data will be disaggregated per age, gender, disability, to the extent possible.

List of Uploaded Documents

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No documents available.

8. Does the project use gender analysis in the project design?

3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. (all must be true)

2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. (all must be true)

1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.

Evidence: Incorporation of Gender equality principles in the project are considered in details in Annex 8: Gender Analysis and Gender Action Plan.

List of Uploaded Documents

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No documents available.

9. Did the project support the resilience and sustainability of societies and/or ecosystems?

3: Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true)

2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated

into project design and budget. (both must be true)

- 1: Sustainability and resilience dimensions and impacts were not adequately considered.

Evidence: The objective of the project is to ensure a regular mechanism of national monitoring, reporting and verification of climate change actions, and move towards a low-carbon and climate resilience development pathway. The project will not produce any environmental impact, as it deals with the preparation of the national report.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]

- Yes
- No
- SESP not required because project consists solely of (Select all exemption criteria that apply)
 - 1: Preparation and dissemination of reports, documents and communication materials
 - 2: Organization of an event, workshop, training
 - 3: Strengthening capacities of partners to participate in international negotiations and conferences
 - 4: Partnership coordination (including UN coordination) and management of networks
 - 5: Global/regional projects with no country-level activities(e.g.activities such as knowledge management, inter-governmental processes)
 - 6: UNDP serves as Administrative Agent
 - 7: Development Effectiveness projects and Institutional Effectiveness projects

Evidence: SESP attached

List of Uploaded Documents

#	File Name	Risk Category	Risk Requirements	Document Status	Modified By	Modified On
1	SESP-5NC-1BTR 12963 110	Low	Human Rights; Climate Change and Disaster Risks; Accountability	Final	khatuna.chanukvadze@undp.org	5/30/2022 3:18:00 PM

Management & Monitoring

Quality Rating: Highly Satisfactory

11. Does the project have a strong results framework?

- 3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. (all must be true)
- 2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)
- 1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. (if any is true)

Evidence: The project has well-developed RRF with SMART indicators

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?

3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true)

2: The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)

1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

Evidence: The governance mechanism is fully defined under section VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS. Project Board TOR is attached.

List of Uploaded Documents

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No documents available.			

13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?

3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme's theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. (both must be true)

2: Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.

1: Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

Evidence: Risk log is developed and presented in Annex 5: UNDP Risk Register.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

Efficient

Quality Rating: Satisfactory

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example:

- i) Using the theory of change analysis to explore different options of achieving the maximum results with the resources available.
- ii) Using a portfolio management approach to improve cost effectiveness through synergies with other interventions.
- iii) Through joint operations (e.g., monitoring or procurement) with other partners.
- iv) Sharing resources or coordinating delivery with other projects.
- v) Using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.

Yes

No

Evidence: Cost-efficient use of resources is not explicitly mentioned in the prodoc. However, it is noted that the Implementing Partner will take full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

List of Uploaded Documents

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No documents available.

15. Is the budget justified and supported with valid estimates?

3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.

2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.

1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

Evidence: The prodoc contains detailed budget broken down by project components (activities) and years, with the indication of implementing partner and source of funds.

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No documents available.

16. Is the Country Office / Regional Hub / Global Project fully recovering the costs involved with project implementation?

3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)

2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.

1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

Evidence: The project is full NIM and is therefore, not subject to DPC recovery. However, UNDP's oversight costs are included.

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No documents available.

Effective

Quality Rating: Exemplary

17. Have targeted groups been engaged in the design of the project?

3: Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)

2: Some evidence that key targeted groups have been consulted in the design of the project.

1: No evidence of engagement with targeted groups during project design.

Not Applicable

Evidence: The project has been developed in full coordination with the Ministry of Environment Protection and Agriculture, primary target

institution. The ownership of the government is demonstrated by the fact that the project is full NIM. Stakeholder Engagement Plan (Annex 7) further defines roles and participation of all stakeholders in the projects.

List of Uploaded Documents

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No documents available.

18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?

- Yes
- No

Evidence: The project Board will serve the purpose of monitoring the project and adjusting its course per changed context.

List of Uploaded Documents

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No documents available.

19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

- Yes
- No

Evidence: The project is GEN2.

List of Uploaded Documents

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No documents available.

Sustainability & National Ownership Quality Rating: Highly Satisfactory

20. Have national / regional / global partners led, or proactively engaged in, the design of the project?

- 3: National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP.
- 2: The project has been developed by UNDP in close consultation with national / regional / global partners.
- 1: The project has been developed by UNDP with limited or no engagement with national partners.

Evidence: Yes, the project has been developed in full coordination with the Ministry of Environment Protection and Agriculture, primary target institution. The ownership of the government is demonstrated by the fact that the project is full NIM.

List of Uploaded Documents

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No documents available.

21. Are key institutions and systems identified, and is there a strategy for strengthening specific / comprehensive capacities based on capacity assessments conducted?

- 3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.
- 2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.

- 1: Capacity assessments have not been carried out.
- Not Applicable

Evidence: Constraints and gaps for mitigation and adaptation associated with the fulfillment of the national obligations under the UNFCCC, and related, financial, technology development and transfer and capacity-building support needs will be assessed with solutions proposed to address these needs. HACT assessment of Implementing Partner (Environmental Information and Education Centre) has been conducted and attached to the prodoc.

List of Uploaded Documents

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No documents available.			

22. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

- Yes
- No
- Not Applicable

Evidence: The project is full NIM and therefore national system of HR, procurement will be used.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

23. Is there a clear transition arrangement / phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?

- Yes
- No

Evidence: Yes, sustainability and potential for scaling up is discussed in respective sections (4.6.2 and 4.6.3)

List of Uploaded Documents

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No documents available.			

QA Summary/LPAC Comments

Annex 13: End of Project report

TEMPLATE

FINAL REPORT OF GEORGIA'S FIFTH NATIONAL COMMUNICATION AND FIRST BIENNIAL TRANSPARENCY REPORT'S PROJECT

Monitoring and Evaluation plans of climate change enabling activities for the preparation of National Communications on Climate Change and/or Biennial Transparency Reports do not require the production and publication of Terminal Evaluation Reports.

Therefore, a number of intended purposes of such terminal exercises are not captured in full, including:

- The promotion of accountability and transparency, and the assessment and disclosure of the extent of the project accomplishments;
- A synthesis of lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities;
- The provision of feedback on issues that are recurrent across the portfolio, attention needed, and on improvements regarding previously identified issues; and
- The contribution to the GEF Evaluation Office databases for aggregation, analysis and reporting on effectiveness of GEF operations in achieving global environmental benefits and on the quality of monitoring and evaluation across the GEF system.

The intent of this Final Report is not to propose an abridged alternative to the Terminal Evaluation Report. Instead, its purpose is to gather some insightful details about the process of preparing the mandatory report under the UNFCCC that can be of use to both the UNDP support teams, and the current and future national project teams. Its focus is therefore on providing:

- A synthesis of lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities; and
- Feedback on issues that are recurrent across the portfolio, attention needed, and on improvements regarding previously identified issues.

National project teams in charge of the future enabling activity for the preparation of the National Communication or Biennial Transparency Report can therefore rely on a valuable source of information from inception to closure of the project, and UNDP support teams can further disseminate lessons across borders, fully up-taking its guiding role as implementing agency.

The template has been designed with the purpose of collecting relevant information, without representing a time-intensive and human resource-intensive burden to the current national project team. It is therefore divided into three core sections – project identification phase, project implementation phase and project follow-up –with for each section a limited number of open questions.

The intention is to have the team leader, project manager or equivalent figure completing the template, in close collaboration with other team members within the last two months of project implementation. It is furthermore the intention of the completion of this Final Report to trigger the discussions of the upcoming National Communication and/or Biennial Transparency Report, taking advantage of the momentum created by the ongoing project, the presence of the core of the current national project team, and the renewed interest of national counterparts with the perspectives of an eminent or recent submission to the UNFCCC.

The completion of this template has been made mandatory and has been budgeted for in all projects that received approval post 2013 (3 working days equivalent of project manager's time). You are kindly invited to send the completed template to Eva Huttova, eva.huttova@undp.org.

A. Details of the project

Project's title	
PIMS number	
Overall budget including GEF grant including co-financing	
Duration of implementation	
Planned duration of project	
Implementing partner	
Team Leader's name and contact details	
Link to final report	

B. Project identification phase

Duration of preparatory phase (expressed in months) _____

Was the project document developed by a national/international consultant? (Please, provide name if yes and expand on the satisfaction of this collaboration.)

Please, shortly describe the milestones of this initial preparatory phase (e.g. consultation workshops held, telephone interviews with key stakeholders, among others)

Where consultations made with one or more of the following stakeholder groups?

<input type="checkbox"/>	Ministry of Finance (or equivalent)	<input type="checkbox"/>	Women's associations
<input type="checkbox"/>	Other Ministries (not being the Ministry in charge of climate change)	<input type="checkbox"/>	Youth movements
<input type="checkbox"/>	Local Governments	<input type="checkbox"/>	Indigenous peoples' representatives
<input type="checkbox"/>	National universities	<input type="checkbox"/>	Environment or climate related NGOs
<input type="checkbox"/>	Domestic Research Centers	<input type="checkbox"/>	Other NGOs/CSOs
<input type="checkbox"/>	Media	<input type="checkbox"/>	Others (specify)

What were the main objectives for the project identified as a result of this preparatory phase?

What were the major challenges faced during this phase?

Looking back, what issues that were identified and/or overlooked during this preparatory phase had an impact on the successive implementation phase?

C. Project implementation phase

Technical components

1. GHG inventory

Base year of the GHG inventory:

Base years used in previous GHG inventories:

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	

Final outcome	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the GHG inventory component and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the causes (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

2. NDC tracking

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the NDC tracking component and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the causes (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

3. Climate Change Impacts & Adaptation

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the climate change impacts and adaptation component and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

4. Financial, technology development and transfer and capacity-building support needed and received and other information (if applicable)

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the financial, technology development and transfer and capacity-building support needed and received and other information (if applicable) component and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

Capacities and use of capacities

Do you believe the project has built - in a durable and cost-effective way - human and institutional capacities? Please, elaborate.

Please, estimate the amount of work done by national consultants versus international consultants:

_____ % national consultants. _____ % international consultants and _____ % national staff.

What work was entrusted to international consultants and for what reasons?

What would you have done differently, or do you advise the next project team to consider in this context?

Additional remarks

Institutional arrangements

Please, summarize an overview of the institutional arrangements for the project implementation.

Please, describe the composition of the project team.

Will the team remain in place, even after the project has fully closed?

Were gender considerations taken into account during the project design and implementation? If so, how?

Which were the strengths and weaknesses of the institutional arrangements used?

What suggestions have you to make regarding the institutional arrangements for future NC and BTR work?

Additional remarks

Technical support from Consultative Group of Experts or other bodies

Has the project team, or members of the project team, participated in national, regional or global training events organized by a centre of excellence or above-mentioned body during the course of the project? If yes, please, specify the training event(s).

What has been the contribution of this participation to the project results?

What identified knowledge gaps holding back the proper implementation of the NC and/or BTR project could not be addressed by any of the above-mentioned bodies?

In addition to capacity building support, what other assistance did the project team receive during project implementation? (E.g. review of draft report, technical backstopping of international expert)

Has UNDP provided timely and valuable support during project design and implementation? Please explain.

D. Next steps

How will findings of the project be further disseminated, if at all?

Are balance funds available under the NC and/or BTR project going to be used to identify the strategy of the next report?

At full project closure, is there a person or institute to whom one can turn in case there are follow-up questions to the NC and/or BTR?

Has the Government expressed interest to further work with UNDP on the next coming report? If no, please explain.

E. Additional information

Date	
Name and e-mail address of person who completed this template	
Others involved in completion of this template (names of individuals and their institutions)	
In case a terminal evaluation report has been produced, please link it here.	
Other attachments	

Annex 14: Terms of Reference (ToR) for Project Board

UNDP Standard Terms of Reference (ToR) for the Project Board of „Development of the Fifth National Communication and the First Biennial Transparency Report of Georgia to the UNFCCC“

PIMS ID number: 6597 Award ID: 00134925 Output ID: 00126379

I. Background

All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

II. Duties and Responsibilities

The two prominent (mandatory) roles of the project board are as follows:

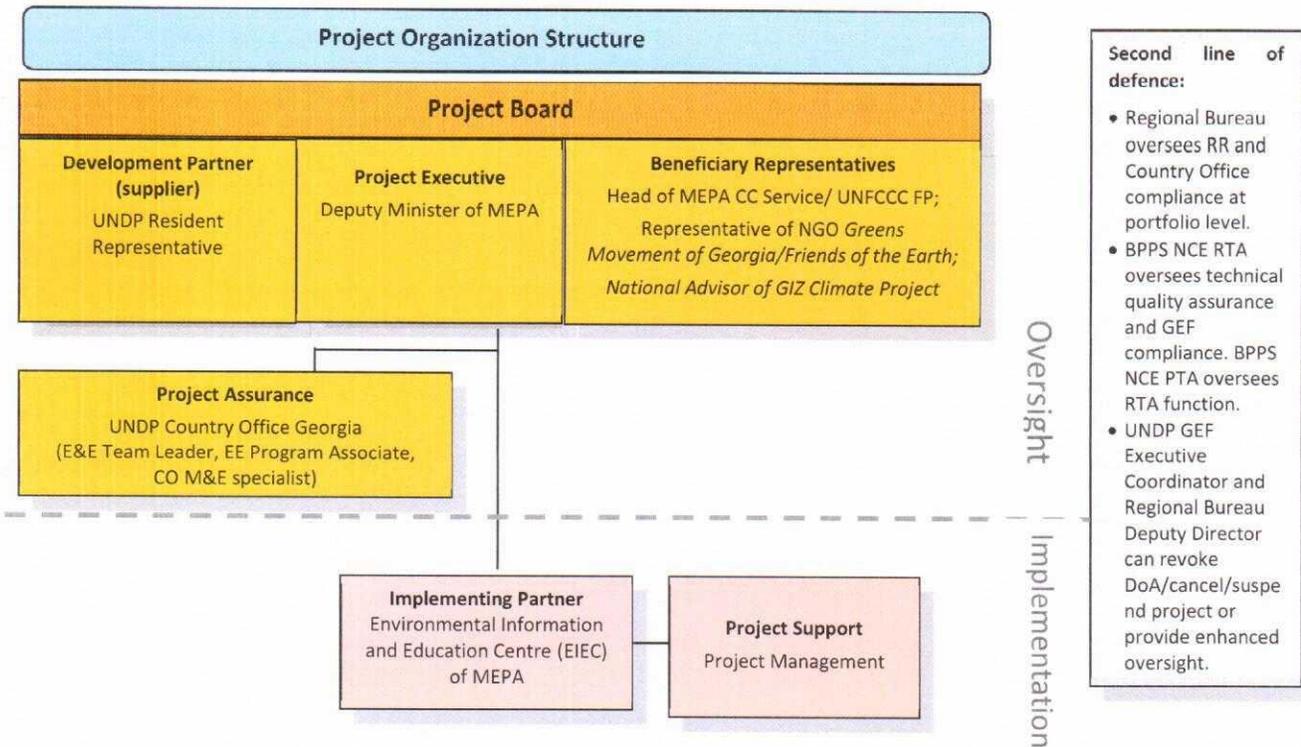
- 1) **High-level oversight of the execution of the project by the Implementing Partner.** This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results.
- 2) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the [“Manage Change”](#) section of the [POPP](#)).

The Project Board is responsible for making management decisions by consensus when required, including the approval of project plans and revisions, and the project manager’s tolerances. The Project Board approves annual work plans and reviews updates to the project risk log.

Within the overall governance and management arrangements of the project, the role of the Board as regards these two key functions (*‘High-level oversight of the project’* and *‘Approval of key project execution decisions’*) is distinct from the roles of entities involved in the implementation of the project, namely the implementing partner (IP), service providers and project staff.

The diagram below outlines the main entities involved (and their respective responsibilities) in the ‘oversight/approval of key execution decisions’ layer and the ‘implementation’ layer of the project structure.

Project governance structure



In order to ensure UNDP's ultimate accountability, the Project Board decisions should be made in accordance with [the Quality Standards for Programming](#) that shall ensure management for development results, best value money, fairness, integrity, transparency and effective national and international competition. An effective Project Board needs credible data, evidence, quality assurance and reporting to aid decision. The Project Board also needs to be accountable to protect against conflicts of interest and fraud.

Requirements to serve on the Project Board:

- ✓ Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minutes of meetings.
- ✓ Meet annually; at least once.
- ✓ Disclose any conflict of interest in performing the functions of a Project Board member and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- ✓ Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
- ✓ Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

Responsibilities of the Project Board:

- ✓ Consensus decision making:
 - The project board provides overall guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.
 - Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report;
 - The project board is responsible for making management decisions by consensus.

- In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.
- In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.
- ✓ **Oversee project execution:**
 - Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.
 - Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.
 - Address any high-level project issues as raised by the project manager and project assurance;
 - Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF policies);
 - Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.
 - Track and monitor co-financed activities and realisation of co-financing amounts of this project.
 - Approve the Inception Report.
 - Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.
- ✓ **Risk Management:**
 - Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
 - Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.
 - Address project-level grievances.
- ✓ **Coordination:**
 - Ensure coordination between various donor and government-funded projects and programmes.
 - Ensure coordination with various government agencies and their participation in project activities.

III. Composition of the Project Board

The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive usually is the senior national counterpart for nationally implemented projects (typically from the same entity as the Implementing Partner), and it must be UNDP for projects that are direct implementation (DIM). In exceptional cases, two individuals from different entities can co-share this role and/or co-chair the Project Board. If the project executive co-chairs the project board with representatives of another category, it typically does so with a development partner representative. The Project Executive is: *Deputy Minister of Environmental Protection and Agriculture of Georgia*.
2. **Beneficiary Representative(s):** Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often representatives from civil society, industry associations, or other government entities benefiting from the project can fulfil this role. There can be multiple beneficiary representatives in a Project Board. The Beneficiary representative (s) is/are: *Head of MEPA CC Service, UNFCCC Focal Point, Co-chairman of NGO Greens Movement of Georgia/Friends of the Earth and National Adviser of GIZ Project: Capacity Development for Climate Policy Phase 3*.
3. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide funding, strategic guidance and/or technical expertise to the project. The Development Partner(s) is/are: *UNDP Resident Representative*.

The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office (EE Team Leader and Programme Associate) will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

IV. Standard Project Board Protocols

The Project Board must meet one time annually at a minimum.

Project Board members cannot receive remuneration from project funds for their participation in the Board. However, it is allowable for board members to be reimbursed from project funds for certain reasonable, qualified expenses related to travel or lodging to attend board meetings. Such protocols are outlined in this ToR and the benefits are applicable to all eligible board members.

It is required that as per internationally recognized professional standards and principles of sound governance, conflicts of interest affecting board members in performing their duties must be formally disclosed if not avoidable. Where a board member has a specific personal conflict of interest with a given matter before the board, he/she must recuse oneself from their participation in a decision. No board member can vote or deliberate on a question in which he/she has a direct personal or pecuniary interest not common to other members of the board.

V. Standard Outputs of Project Board Meetings

In its oversight function, the Project Board will (at a minimum) review and assess the following project-related evidence at each meeting:

- Assessment of project progress to date against project output indicators (as documented in the project document results framework)
- Approval/review of annual work plans
- Assessment of the relevant Monitoring & Evaluation mechanisms, including all evaluations¹⁹
- Review and assessment of the Project Risk Log (with updating/amendments as needed)
- Assessment of project spending, based on a review of the combined delivery report
- Review of required resources versus available funding (if applicable) and steps taken to reduce funding gap identified at the project design stage

This will be in addition to the review and approval of any required project execution decisions.

VI. Support Functions to the Project Board

Project Assurance: Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is/are: *UNDP CO's E&E Team Leader and E&E Program Associate.*

¹⁹ Including audit reports and spot checks.

Chicago

Feb 26

Feb 26

Received